



THE STATE EDUCATION DEPARTMENT / THE UNIVERSITY OF THE STATE OF NEW YORK / ALBANY, NY 12234

Jean C. Stevens, Associate Commissioner
Office of Instructional Support and Development
Room 875 EBA (518) 474-5915

Rec'd 5/7/07

2

May 4, 2007

Troy R. Justesen
Assistant Secretary for Vocational and Adult Education
U.S. Department of Education
550 12th Street SW
Potomac Center Plaza, Room 11017
Washington, D.C. 20202-7110

Dear Assistant Secretary Justesen:

The New York State Education Department submits this waiver request for Sec. 132 Distribution of Funds for Postsecondary Education Programs under the Carl D. Perkins Career and Technical Education Act of 2006 (Perkins IV).

The requested formula better targets postsecondary funds to serve economically disadvantaged students who are enrolled in credit-bearing and noncredit, career and technical programs operated by both postsecondary and secondary education agencies. In addition to Pell Grants and Bureau of Indian Affairs Grants, the requested formula includes a broad range of eligibility criteria. I believe that the expanded eligibility criteria are an effective indicator of economic disadvantaged status that includes postsecondary students in noncredit career programs who are not eligible for Pell Grants.

This funding distribution method was also endorsed by OVAE based on the findings of the New York State program review conducted in 2005.

The New York State Education Department looks forward to a timely approval of this request. Unless otherwise notified, implementation of the requested formula for distribution of postsecondary funds under the new Perkins IV legislation will proceed. Please call me if you have any questions.

Sincerely,

Jean C. Stevens

Attachments

CERTIFICATION REGARDING LOBBYING

Applicants must review the requirements for certification regarding lobbying included in the regulations cited below before completing this form. Applicants must sign this form to comply with the certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying." This certification is a material representation of fact upon which the Department of Education relies when it makes a grant or enters into a cooperative agreement.

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a Federal contract, grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

- (a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;
- (b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;
- (c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants and contracts under grants and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certification.

NAME OF APPLICANT <i>NYSED</i>		PR/AWARD NUMBER AND / OR PROJECT NAME	
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE <i>Jean C. Stevens</i>			
SIGNATURE <i>Jean C. Stevens</i>		DATE <i>5/4/07</i>	

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §4801 et seq.) which prohibits the use of lead- based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, AAudits of States, Local Governments, and Non-Profit Organizations.≡
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this progra

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL <i>Jean C. Stevens</i>	TITLE <i>State Director</i>
APPLICANT ORGANIZATION <i>New York State Education Department</i>	DATE SUBMITTED <i>5/4/07</i>

RATIONALE FOR NEW YORK STATE'S PROPOSED POSTSECONDARY CAREER AND TECHNICAL EDUCATION FORMULA

For the distribution of Perkins IV Postsecondary Career and Technical Education formula funds, the New York State Education Department has proposed using other programs of economic disadvantaged eligibility in addition to the Pell Grant and Bureau of Indian Affairs (BIA) Grant factors set forth in the Act. It is the Department's belief that the addition of these other program factors results in a superior distribution of funds to serve economically disadvantaged students.

The attached chart provides the basis for this assertion. In the first column of the chart are listed those agencies which qualified for a Postsecondary Career and Technical Education allocation based on the number of economically disadvantaged students enrolled in their postsecondary Career education program in the period July 1, 2005 – June 30, 2006. Economically disadvantaged was defined as those in receipt of Pell Grants and BIA Grants, as well as those students who met eligibility requirements, including being long-term unemployed, a dislocated worker, or in receipt of public assistance. The number of such economically disadvantaged students for each agency is given in the second column. It is to be noted that these numbers are unduplicated unit counts of enrollees in workforce, public assistance, and other programs of economic disadvantaged status.

The third column shows the number of career education students who would be served if only Pell Grants and BIA Grants were used as a distribution factor.

The fourth column gives the numbers of economically disadvantaged career students who would not be served if Pell Grants and BIA Grants were the only factors used for the Postsecondary formula.

The fifth column gives the Postsecondary allocations calculated for each of the agencies based on their economically disadvantaged student enrollment. The minimum award is \$50,000.

The sixth column shows the allocations that would result for these agencies if Pell Grants and BIA Grants were the only factors used for the distribution of formula funds. The seventh and last column shows the difference between New York State's proposed allocation and that which would result if only Pell Grants and BIA Grants were used.

Several results become immediately clear from the allocations which would result from the use of Pell Grants and BIA Grants as the sole formula factors:

1. A total of 53,504 unduplicated economically disadvantaged students agencies would receive no support through Perkins IV Postsecondary formula funds.
2. Major urban school districts which serve the majority of our state's illiterate, immigrant and welfare populations would have no access to Perkins IV funds to support the participation of such adult students in career education leading to employment. These include New York City with 7,979 adult students; Rochester with 1,044; Buffalo with 3,258, and Yonkers with 1,570.
3. None of New York's Educational Opportunity Centers (EOC's) would receive Perkins IV funding. These EOC's, located in urban settings, are the branch of New York's postsecondary education system which reaches out to economically

disadvantaged populations and offers remedial and noncredit career instruction. These EOC's together serve over 4,000 students annually.

4. Only one of New York's 11 eligible area vocational centers, called Boards of Cooperative Educational Services (BOCES) would receive Perkins IV funding to support the participation of adults in career education programs. These BOCES serve an important role by reaching out to rural adults, and also are the major operators of literacy programs outside urban centers.
5. In general, the congressional goal of linking Perkins IV funds with the Adult Education Act, and other workforce preparation programs to provide coordinated and comprehensive education, training, and support services to persons with multiple barriers to employment, would not be achieved because many of the agencies that serve adult students through those other funding sources would not receive Perkins IV Postsecondary formula funds to support joint efforts.
6. While not yet finalized, projected enrollment data for the period July 1, 2006 - June 30, 2007 is consistent with the 2005-2006 period, supporting the rationale for an alternative allocation formula.

For the above reasons, New York State proposes the addition of other programs of economic disadvantaged eligibility to Pell Grants and BIA Grants for use in the formula distribution of Perkins IV Postsecondary funds. Specific factors used to identify economically disadvantaged students include eligibility for the following economic assistance programs:

Economically Disadvantaged means individuals who participate in any of the following economic assistance programs:

- a. Pell Grant
- b. Tuition Assistance Program (TAP)
- c. Aid for Part-Time Study (APTS)
- d. Educational Opportunity Program (EOP); Higher Education Opportunity Program (HEOP); Search for Education, Elevation and Knowledge (SEEK); and College Discovery (CD).
- e. Bureau of Indian Affairs Higher Education Grant Program (BIA)
- f. TANF Funded Services and Assistance
- g. Workforce Investment Act
- h. Social Security Insurance
- i. Women, Infants, and Children (WIC)
- j. Other public assistance programs serving economically disadvantaged, such as: Food Stamps, Home Energy Assistance Payments (HEAP), Supplemental Security Income, Trade Readjustment Act, and Refugee and Immigration Affairs Assistance.

Or who may be documented as low income:

- k. Other: An adult with a total family income below \$14,100 for single persons, \$19,600 per couple, or \$22,350 for a family of three, with an additional \$4,350 per dependent child.

FY2000 VATEA Postsecondary/Adult

Formula Allocation Justification

1	2	3	4	5	6	7
Agency	Total Students	Pell/BIA Students	Students Diff	Total Stud Alloc 2008	Pell/BIA Alloc 2008	Allocation Diff
Adirondack Community College	635	605	-30	137257	156759	19502
Borough of Manhattan Community College	8434	7434	-1000	2009355	1926189	-83166
Bramson ORT	743	743	0	160601	192515	31914
Bronx Community College	5459	5036	-423	1225801	1304854	79053
Bronx EOC	523	0	-523	113048	0	-113048
Brooklyn EOC	656	0	-656	141796	0	-141796
Broome Community College	1829	1137	-692	395343	294603	-100740
Buffalo City School District	3258	0	-3258	704225	0	-704225
Buffalo EOC	361	0	-361	78031	0	-78031
Capital District EOC/Sage JCA Consortium	428	0	-428	92513	0	-92513
Cattaraugus-Allegany BOCES	413	0	-413	89271	0	-89271
Cayuga County Community College	990	571	-419	213991	147949	-66042
Clinton Community College	402	268	-134	86893	68663	-18230
College of Aeronautics	722	571	-151	156062	147949	-8113
College of Staten Island	1509	1051	-458	371999	272320	-99679
Columbia-Greene Community College	540	516	-24	116722	133698	16976
Corning Community College	1526	1143	-383	329849	296157	-33692
Culinary Institute of America	935	745	-190	202103	193033	-9070
Delaware-Chenango BOCES	323	0	-323	69817	0	-69817
Dutchess Community College	2368	1778	-590	511849	460689	-51160
Eastern Suffolk BOCES	471	0	-471	101808	0	-101808
Erie 1 BOCES	732	0	-732	158224	0	-158224
Erie 2-Chautauqua BOCES	402	0	-402	86893	0	-86893
Erie Community College	5106	3290	-1816	1103675	852456	-251219
Fashion Institute of Technology	1494	968	-526	322932	250814	-72118
Finger Lakes Community College	1460	940	-520	315583	243559	-72024
Fulton-Montgomery Community College	678	487	-191	146551	126184	-20367
Genesee Community College	2105	451	-1654	455001	116856	-338145
Herkimer County Community College	1496	916	-580	323364	236563	-86801
Hostos Community College	2431	2260	-171	1164846	585578	-579268
Hudson Valley Community College	4295	2721	-1574	928375	705025	-223350
Jamestown Community College	1063	714	-349	229770	185001	-44769
Jefferson Community College	1046	787	-259	226096	203916	-22180

FY2000 VATEA Postsecondary/Adult
Formula Allocation Justification

1	2	3	4	5	6	7
Agency	Total Students	Pell/BIA Students	Students Diff	Total Stud Alloc 2008	Pell/BIA Alloc 2008	Allocation Diff
John Jay College	2889	2426	-463	998409	628589	-369820
Kingsborough Community College	4131	3399	-732	929672	880699	-48973
LaGuardia Community College	5043	4221	-822	1642976	1093683	-549293
Long Island EOC	580	0	-580	125369	0	-125369
Manhattan EOC	367	0	-367	79328	0	-79328
Maria College	305	222	-83	65927	57521	-8406
Medgar Evers College	1808	1547	-261	659914	400836	-259078
Mohawk Valley Community College	1875	307	-1568	405286	79545	-325741
Monroe Community College	4986	3304	-1682	1077737	855825	-221912
Monroe #2 BOCES	331	0	-331	71547	0	-71547
Nassau Community College	2649	1851	-798	572588	479604	-92984
New York City Board of Education	7979	0	-7979	1724682	0	-1724682
New York City Technical College	5001	4092	-909	1131991	1060259	-71732
Niagara County Community College	2176	1271	-905	470348	329064	-141284
North Country Community College	709	495	-214	153252	128257	-24995
Onondaga - Cortland BOCES	681	0	-681	147200	0	-147200
Onondaga/Cazenovia College Consortium	2592	1706	-886	560268	442034	-118234
Orange County Community College	1099	622	-477	237552	161163	-76389
Orange-Ulster BOCES	240	0	-240	51877	0	-51877
Queensborough Community College	3342	2830	-512	748320	733268	-15052
Rochester City School District	1044	0	-1044	225663	0	-225663
Rochester EOC/Villa Maria Consortium	907	137	-770	196051	35497	-160554
Rochester Institute of Technology	704	447	-257	152171	115820	-36351
Rockland BOCES	509	0	-509	110022	0	-110022
Rockland Community College	761	556	-205	164492	144063	-20429
Schenectady County Community College	1636	1248	-388	353626	323363	-30263
Suffolk County Community College	2074	1039	-1035	448300	269210	-179090
Sullivan County Community College	510	414	-96	110238	107270	-2968
SUNY ATC at Cobleskill	1776	716	-1060	383887	185519	-198368
SUNY ATC at Morrisville	1801	1177	-624	389291	304967	-84324
SUNY College of Technology at Alfred	1675	1015	-660	362056	262992	-99064
SUNY College of Technology at Canton	1491	982	-509	322284	253923	-68361
SUNY College of Technology at Delhi	1397	728	-669	301965	188629	-113336

FY2000 VATEA Postsecondary/Adult
Formula Allocation Justification

1	2	3	4	5	6	7
Agency	Total Students	Pell/BIA Students	Students Diff	Total Stud Alloc 2008	Pell/BIA Alloc 2008	Allocation Diff
SUNY College of Technology at Farmingdale	530	321	-209	114561	83173	-31388
Syracuse EOC	215	0	-215	46473	0	-46473
Tompkins-Cortland Community College	1378	936	-442	297858	242523	-55335
Trocaire College	972	629	-343	210100	162718	-47382
Ulster BOCES	248	0	-248	53606	0	-53606
Ulster County Community College	687	413	-274	148497	107010	-41487
Westchester Community College	1917	1047	-870	414365	271283	-143082
Westchester EOC	290	0	-290	62684	0	-62684
Western Suffolk BOCES	1026	0	-1026	221773	0	-221773
Yonkers City School District	1570	0	-1570	339360	0	-339360
TOTAL	128734	75230	-53504	30053210	19489639	-10563571

U. S. Department of Education
Office of Vocational and Adult Education

**The Carl D. Perkins
Career and Technical Education Act of 2006
STATE PLAN COVER PAGE**

State Name: New York

Eligible Agency Submitting Plan on Behalf of State:

New York State Education Department

**Person at, or representing, the eligible agency responsible for answering
questions on this plan:**

Signature: Jean C. Stevens

Name: Jean C. Stevens

Position: State Director of Career and Technical Education

Telephone: (518) 474-5915

Email: jstevens@mail.nysed.gov

Type of State Plan Submission (check *all* that apply):

☐ 6-Year

☒ 1-Year Transition

☐ Unified - Secondary and Postsecondary

☐ Unified - Postsecondary Only

☐ Title I only (*All Title II funds have been consolidated under Title I*)

☐ Title I and Title II

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PART A: STATE PLAN NARRATIVE

I. Planning, Coordination and Collaboration

Not required

II. Program Administration

A. Statutory Requirements

1. Transition plan for the first year of operation of programs under the Act [Sec. 122(a)(l)]
2. (a) Program Activities [(a-i-iv)] CTE activities to be promoted that are designed to meet or exceed the State adjusted levels of performance, including descriptions of programs of study offered, transitions, rigor, dual enrollment, industry-recognized credential, and post-secondary study.

1. This document contains New York's transition plan for the first program year.
2. This submission describes transition year activities for Career and Technical Education (CTE) programming in New York State.

The Board of Regents envisions a New York in which all people are prepared for citizenship, work and continued learning throughout their lives. They foresee a New York in which gaps in achievement have closed, and the overall level of knowledge and skill among the people matches or exceeds the best in the world. In spite of progress over the last decade, we are far from achieving that vision. And the Board understands that the vision must be dynamic because policy leaders, educators, and other people around the globe are moving as fast as they can to achieve their own version of the same vision. The Board further defined their vision at the Education Summit in November 2005, which validated these aims:)

THE AIMS OF THE UNIVERSITY OF THE STATE OF NEW YORK (USNY)

1. Every child will get a good start.
2. Every child will read by the second grade.
3. Everyone will complete middle level education ready for high school.
4. Everyone will graduate from high school ready for work, higher education, and citizenship.
5. People who begin higher education will complete their programs.
6. People of all ages who seek more knowledge and skill will have the fullest opportunity to continue their education.

We also documented the educational challenges facing New York at the Summit and confirmed our goals to confront them:

- ▶ *Close the great divide in achievement along lines of income, race, ethnicity, language, and disability.*
- ▶ *Keep up with growing demands for still more knowledge and skill in the face of increasing competition in a changing global economy.*

Accomplishing these two related goals requires unprecedented collaboration among parents, employers, elected leaders and educators. Education is a system in which all the parts affect and depend on the others. Solutions to its problems must be systemic solutions. For example, giving all children a good start requires prenatal and child health care, family literacy through libraries and other institutions, pre-school programs and full-day kindergarten. Interventions have to start early and support a student's learning throughout. Students who do not get a good start are unlikely to read by the second grade; students who do not become proficient readers won't graduate from high school; and students who enter college with weak mathematics and literacy skills won't graduate unless something is done to bolster their academic achievement.

The strategies and actions outlined here draw upon the strengths of the entire University of the State of New York. Together these strategies and actions form a coherent whole. They will sustain students from their earliest years – with a focus on transitions from pre-kindergarten to elementary school, to middle school, then to high school and college – by improving critical systems and structures that support achievement. In the next few pages we describe the principles that will guide our work. Chief among them is a commitment to engage everyone by listening to the people the education system serves. We will engage partners statewide in business, health and mental health, local and state government, community organizations, education, and most of all, parents and students. This is a commitment to communication that is rich, continuous, and honest.

The Regents propose this plan for the next stage of educational reform to accomplish the six USNY aims. As the Board and the State Education Department act to implement the plan, we commit to do so in a manner that is consistent with the following principles:

- We will confront the data, share it broadly, and use it to define as precisely as possible where resources and energy should be applied. We will recognize the achievements and also declare the problems as clearly as we can.
- We will engage everyone by listening to the people the education system serves: to parents, to educators at every level, to employers, and to the elected officials who must weigh enormous competing demands for scarce resources. In particular, we will engage students and their parents, and the wider community because educational institutions do not belong to the educators but to the people. We will create a communications plan to listen to, inform, and involve people statewide.
- We will define measurable objectives so that others can hold us accountable, and we can hold education leaders accountable for improving results.

- We will study the practices of high performing education systems, states and nations, and adapt the best to New York's situation. We will examine what actions are most effective, and invite others to learn with us.
- We will take action focused on systematic change to effect sustained improvement. We know, for example, that closing the achievement gap for students requires correcting the unequal distribution of teaching talent. And we know that in demanding change in educational institutions to achieve better results, we must also build capacity in our own State Education Department to take on its part of this improvement strategy.
- We will continually renew the alignment of our actions to ensure coherence and effectiveness. For example, academic standards, curriculum, assessment, and instructional practice have to be aligned to be effective. When one element changes, all other elements must be examined to ensure that the system remains effective.
- We will strengthen USNY, because it has great potential to build more effective transitions for students from one level of the system to the next.
- We will advocate for State and federal financial resources and legislative actions that will help achieve better educational outcomes. And we will be accountable for the effective use of those resources.

Renewal of the Perkins legislation provides New York State with an opportunity to continue upgrading career and technical education programs and to make them a key initiative in implementation of the Regents P-16 reform strategy. This strategy has established thirteen goals, and CTE can be a significant tool for at least three of the thirteen goals. CTE can improve high school attendance and graduation rates; it can assist in helping students transition and persist in postsecondary programs; and it is a necessary component in raising learning standards to exceed global standards.

The Office of Curriculum and Instructional Support, the Office of K-16 Initiatives, and Access Programs co-administer Perkins funding. They collaborate in the development of the interim and final state plan for these funds that will assist local education agencies and postsecondary institutions in implementing actions included in the P-16 reform strategy.

The design of the state and local plans for career and technical education for the years 2007 through 2013 will feature the following elements:

Continued focus on academic rigor. Since the implementation of the Regents policy on CTE in 2001, the quality of both specialized and integrated core academics has improved in New York. This was noted at the federal level and the Regents policy influenced the inclusion of this in the new legislation. The new legislation encourages states to further refine this policy by incorporating programs of study into the academic program of all CTE students. A program of study is a career pathway within one of sixteen career clusters. As already outlined in the New York State Career Plan/ Career Zone initiatives, the process

begins at the elementary school level with broad career investigation and gradually becomes more specific as student interest and aptitude develops. It must include strong academics and both secondary and postsecondary study. It must lead to an industry-recognized credential, a certificate, or a postsecondary degree.

Increased emphasis on successful student transitions. The state plan will outline ways in which local education agencies and postsecondary institutions can assure that their students experience less need for remediation, lower costs and accelerated study opportunities at the next level of educational achievement. This includes transitions from secondary to postsecondary and from two-year to four-year postsecondary institutions. Institutions at all levels will be required to develop articulation agreements that have direct benefits to students. These include automatic admission, acceptance of credits, and dual credits among others.

High skill, high wage, high demand jobs are in the forefront. The priority of CTE programs will continue to be the preparation of students for careers that will offer a strong starting salary and will lead to advancement opportunities. SED will work closely with the New York State Department of Labor to provide local education agencies and postsecondary institutions with appropriate regional economic development statistics needed to prepare students for careers in New York. This interagency coordination will help make New York economically competitive by retaining qualified graduates. There will be added emphasis on career pathways that prepare students for scientific, technical engineering and mathematics related occupations.

Regular reassessments of technical skill requirements. Given the rapidly changing needs of business and industry, the skills required for career success are changing. Local education agencies must, at a minimum, re-assess the technical skills requirements for each of their approved CTE programs every five years. These reassessments must be done collaboratively with appropriate input from local business and industry. Postsecondary institutions also will be expected to define the technical skill requirements in their CTE programs.

Increased requirements for accountability. In order to evaluate performance at all levels, it is necessary to have good data. Fortunately, the State Education Department has implemented a unit record system to determine performance outcomes for both secondary and postsecondary students. The core performance standards for measuring the academic success of students are the same as those required under NCLB. The continued development of the Department's P-16 data system will put New York in the forefront in the ability to provide valid and reliable data.

The Title II will be maintained as separate funding source that emphasizes Career Pathways. Tech Prep in New York will be renamed Career Pathways Programs. Career Pathways are coherent sequences of courses that transition students from secondary to postsecondary education, preparing students for high skill, high wage careers. A one-year Request for Proposal (RFP) will be issued to transition current Tech Prep providers into the new legislation. In 2008, a five-year RFP will be issued to obtain knowledgeable service providers who will have responsibility for career pathways activities in specific areas of New York State, and who will assist local education agencies to develop the career pathways emphasized in the new legislation. We expect that many of the existing Tech Prep Consortia will be strong applicants for these new contracts since they have significant experience in this area. Innovation will be achieved through a career pathways focus that is directly linked to local economic development plans, workforce investment, and emerging careers tied to regional postsecondary institutions and employers.

Teacher preparation and staff development will be strengthened to emphasize the academic and high skills aspects of the new Act. Just as programs need to be continuously updated in a changing economy, so do the skills of the teachers who deliver the program content. The new Act offers opportunities for using Perkins funds to help emerging and existing teachers meet the demands of preparing students for the 21st Century global economy.

Perkins' increased emphasis on high skill, high wage, emerging fields is consistent with the existing New York Regents Policy on CTE program approval. Both require the education system and the business community to create pathways that will best prepare students for a global economy. This theme of the new Perkins legislation also coincides with the Regents P-16 reform strategy, presenting a timely opportunity for the Board of Regents to challenge the CTE education community in New York to respond.

The New York State Board of Regents policy on Career and Technical Education (CTE) has been in effect since February 2001. The policy was an enhancement that allowed flexibility in scheduling to allow students to complete a program of career and technical education study while meeting all new graduation requirements. The policy had a two-fold purpose of solving the problem of time while upgrading the content of the courses of study. Most importantly, the policy established high standards that would increase the rigor of CTE. The approval policy will support New York's Perkins implementation strategy and structure New York's expanded career clusters model.

There is considerable overlap in the Regents Program Approval Policy and the Perkins requirements stressing rigor and a seamless transition to postsecondary study (Section A2-a: i-iv, Perkins Guide for the Submission of State Plans). The Regents policy requires specific elements for program success:

- a sequence of courses that prepare students for employment and postsecondary study;

- postsecondary articulation agreements that allow students the opportunity to earn college credit for college-level high school programs;
- preparation for industry-based student assessments and credentials;
- opportunities to apply academic concepts to real-world situations and work-based learning options;
- exposure to and the use of the most current business/industry-based technologies;
- the achievement of Career Development and Occupational Studies, (CDOS), Standard 3b: (the acquisition of career-specific technical knowledge/skills necessary to progress toward gainful employment, career advancement, and success in postsecondary programs);
- a business and industry consultant committee which provide input into the program design; and,
- certified teachers who remain current within their profession.

The policy is not a mandate, but is an option an increasing number of school districts and BOCES are choosing in order to provide quality CTE programs with flexibility in their delivery. The New York City Department of Education recently expressed an expanded use of the CTE Program Approval Process to upgrade and enhance growing numbers of CTE programs under their purview.

A number of delivery systems are in use in New York. Localities are free to employ those that fit their needs. Most strategies follow the federal Perkins legislation emphasis on providing rigorous content through CTE programs while preparing students for post-secondary study and a career. New York State led the nation in innovation in the area of career and technical education reform when it implemented the Regents program approval policy. This approach, known for its use of integrated academics, aligns the Regents policy with the Perkins requirement for: “coherent and rigorous content aligned with challenging academic standards and relevant career and technical content in a coordinated, nonduplicative progression of courses that align secondary content to postsecondary education” (Perkins Act of 2006, section 122 (c)).

In New York State, CTE programs are offered in local education agencies, BOCES, and comprehensive high schools. Programs are available in the career areas of Arts and Humanities, Business/Information Systems, Health Services, Engineering Technologies, Human and Public Services, and Natural and Agricultural Sciences. CTE students are those who gain academic and technical knowledge and skills through contextual learning in preparation for further education and for careers in current or emerging employment sectors.

Increasing the use of the approval process is seen as the most direct route to taking New York's CTE initiative into its next phase. The approval and re-approval processes provide SED with the opportunity to support and guide the development of effective, integrated academics and articulation agreements.

The following priorities in the Regents Statewide Plan for Higher Education 2004-2012 relate to the overall P-16 goals of the State Education Department and the purposes of Perkins IV legislation. Institutional applications for noncompetitive funding must reflect these priorities to the extent that doing so would be consistent with institutional mission and the Perkins IV requirements.

Maximizing Success for all Higher Education Students:

Assuring High Educational Quality

- All students will attain the knowledge, skills, and ethical grounding to responsibly contribute to society and success in the workplace.
- All students will attain progressively advanced levels of knowledge and the ability to apply that knowledge effectively to problem solving in their field and in new areas of study. They will develop global consciousness and adapt to changing environments and conditions.
- All students will be provided higher education opportunity through distance education, in light of the State Education Department's "Principles of Good Practice for Distance Higher Education."

Improving Articulation

- All students will be assisted in their progress towards a degree through improved educational programs and services, accomplished through articulation between higher education institutions including undergraduate and graduate colleges across public, independent, and proprietary sectors.

Closing Performance Gaps

- Student retention and academic success will improve, based on comprehensive programs and strategies that focus on performance gaps due to economic status, ethnicity, race or gender.

Supporting Students with Disabilities

- Students with disabilities will have improved higher education access and success through the provision of appropriate assistive technology, counseling, and support personnel, as well as faculty training.

Smooth Transition from PreK-12 to Higher Education:

Preparing Students for Entry into Higher Education

- All students who are preparing for entry into higher education will benefit from comprehensive programs and strategies that ensure the knowledge and skills necessary for competitive entry into higher education.

Providing Information and Assistance about Higher Education

- All students and their families will have clear and understandable information that assures access and success in future college study.

Qualified Professionals for Every Community throughout the State:

An Adequate Supply of Qualified Professionals

- Professional practitioners and the communities they serve will be engaged to identify emerging workforce needs and devise education strategies to meet those needs.
- Students representing diverse backgrounds will be recruited, prepared and supported for professional licensing preparation programs for which workforce shortages are imminent.
- All students enrolled in professional preparation programs will enhance their knowledge and skills through applied practice opportunities, particularly in fields that reflect dynamic technological advances.

2(b) How you, in consultation with eligible recipients, will develop and implement the career and technical programs of study described in (a) above;

2(c) How you will support eligible recipients in developing and implementing articulation agreements between secondary and education and postsecondary education institutions;

SED staff will provide technical assistance in a series of seven regional conferences across the state. Workshops and panel forums will cover details on developing programs of study, CTE as part of a P-16 effort, and best practices. The Career and Technical Education Resource Center will also provide support in Perkins implementation issues, with particular concentration paid to the lower performing recipients.

SED staff will directly review each local Career and Technical Education Program Plan (CTEPP) for conformance with overall program goals.

New York will be issuing a request for proposals in order to create a regional technical assistance consortia approach to address career pathway and career cluster transition issues.

New York State Regents CTE policy requires SED staff to assist schools in the development of programs of study.

As Perkins IV moves into full implementation, it is anticipated that each local postsecondary grantee will be required to align a portion of their basic grant funds with the programs of study initiative in their respective region. With this approach, the development of programs of study can reflect regional high demand, high skill, high wage conditions.

2(d) How programs at the secondary level will make available information about career and technical programs of study offered by eligible recipients;

2(e) The secondary and postsecondary career and technical education programs to be carried out, including programs that will be carried out by you, to develop, improve, and expand access to appropriate technology in career and technical education programs;

Most guides relating to program information and application are now web-based. In addition to the State Education Department's CTE web site, most localities provide excellent CTE information on their own sites. (e.g., New York City's CTE division <http://schools.nyc.gov/OurSchools/Region79/SpecialPrograms/Cooptech.htm>; or Western Suffolk BOCES, Wilson Tech at <http://www.wilsontech.org/>

The New York Perkins Team coordinates efforts with the NCLB Title II Team to upgrade the use of technology through professional development.

The support of distance education delivery is encouraged at institutions that receive Perkins postsecondary funding. Aligned with this support is the recognition of quality practices. Distance education and learning at postsecondary institutions must reflect the quality practices and capability, as described on the State Education Department web site: <http://web1.nysed.gov/ocue/distance/>

Postsecondary grant applications that include major effort activities for the delivery of distance education and learning must acknowledge that an Institutional Capability Review Application has been submitted to the State Education Department as evidence of quality commitment in distance education and learning.

2(f) Criteria used to approve eligible recipients for funds under the Act, including criteria to assess the extent to which the local plan will:

- i) promote continuous improvement in academic achievement;
- ii) promote continuous improvement in technical skill attainment;
- iii) identify and address current or emerging occupational opportunities.

Perkins secondary formula funds are distributed by a statutory formula that is based upon the number of individuals ages five to seventeen in a school district as well as the proportion of those individuals who are below the poverty line. However, in order to access these funds the following criteria must be met:

1. The allocation must be above \$15,000. Schools with an allocation of less than \$15,000, or other agencies not wishing to access their fund directly, may participate in a consortium application by assigning their funds to the consortium. A consortium application may come from any group of schools, but they must aggregate an allocation not less than \$15,000 and meet the size, scope and quality requirements below. One grantee must be named as the fiscal agent for the consortium, and, as such, accept fiscal responsibility for all Perkins funds assigned to the consortium.
2. Those schools with an allocation above \$15,000 may apply for these funds if they have a CTE program that is of sufficient size, scope and quality.

The SED determines size and scope by examining enrollments and program offerings through data provided via the Career and Technical Education Data System (CTEDS) and Basic Education Data System (BEDS). Quality is determined through the application review process.

Size and scope for 2007-2008 Perkins grants is demonstrated by the local agency offering programs in at least three of the sixteen career clusters and meeting one of the following:

- has special populations that represent at least 63.22% of the reported CTE students at the agency, or,
- has special populations that represent at least 44.17% of the reported CTE students at the agency AND has a total secondary CTE enrollment that is at least 23.70% of the overall student 9-12 population.

Size and scope for the 2007-08 school year have been determined for each agency based on CTE program data reported for the 2005-2006 school year. Agency awards are found in Attachment A. If an agency has not met size and scope but wishes to apply for funds, a detailed explanation must be provided to describe how funds will be directed to implement strategies during the 2007-2008 school year to enable its CTE program to meet the size and scope criteria.

Programs meeting the first two criteria must then show adherence to specific requirements for quality. Mandated quality elements require recipients to show:

1. that they are developing or implementing a program of study. In the transition year, schools must have, or submit an application showing that they will develop, at least one program of study created by June 30, 2008 and implement by start of school year 2008-09. To continue funding, two additional programs of study need to be developed by June 30, 2009 and implemented by start of school year 2009-10.

A program of study is made up of sequential courses that are guided by industry standards and technical assessments that prepare the student for multiple exit points for careers in high skill, high wage, high demand areas or postsecondary study. Programs of study may include expanded opportunities for secondary students to earn college credit. Programs that lead to industry recognized certification at the postsecondary level will be promoted. Any program offering an immediate employment exit point will be able to chart the career advancement and further education paths available to program graduates. Programs that are approved through the New York State Regents approval process will be deemed to be approved programs of study for Perkins funding.

2. that they have allocated local resources to supplement the Perkins funds in such a way as to result in high-level academic, career and technical skills.
3. how the recipient will work to implement career clusters/career pathways initiatives. Technical assistance will be available on a regional basis from a contractor to be determined by a competitive application process.
4. how they will use the Perkins IV performance indicators and State-negotiated performance standards to evaluate their CTE programs and show continuous improvement in subsequent funding years.
5. that they have created a local CTE advisory council. To avoid duplication of effort, the SED recommends the Local Advisory Council (LAC) required by State Education Law and by Commissioner's Regulations act as the core of this planning group. These required LACs must consist of at least ten members who cannot be employees of the agency(ies) served by the LAC. Further, the LAC membership must include, but not necessarily be limited to, representatives of each of the following:
 - a. persons familiar with the CTE needs and problems of management and labor in the service area;
 - b. persons familiar with programs of CTE at the secondary, postsecondary and adult levels;

- c. persons familiar with the workforce needs and requirements of the community to be served;
- d. persons familiar with the special educational needs of individuals with disabilities;
- e. persons representative of community interests, including persons familiar with the special needs of the population to be served; and;
- f. persons enrolled as CTE students at the agency served by the LAC.

The SED recommends the following groups be added to the LAC:

- a. representatives of school districts that are consortia members;
- b. representative(s) of postsecondary institutions, especially those who participate in Tech-Prep Consortia, if one or more exists in the local service area;
- c. representative(s) of adult literacy and adult CTE programs;
- d. representative of gender equity programs;
- e. representatives from other providers of employment and training services in the local service area, including Youth Councils, LWIBs, regional Vocational and Educational Services for Individuals with Disabilities (VESID) offices, county Departments of Social Services, regional Department of Labor, Community Service Centers and regional Empire State Development offices, and
- f. current secondary and adult CTE students, program graduates and parents of special population students.

To ensure this component is properly addressed, the SED requires the submittal of the membership list of the planning group.

Related to the distribution of Perkins postsecondary formula funds, staff in the SED Office of Higher Education assist the State's postsecondary institutions in using the LMI and economic data to work with their Local Workforce Investment Boards and participate in those activities as enacted by Title I of the WIA. This is done in collaboration with several areas of the SED, the DOL and Empire State Development.

The SED assists colleges to establish and maintain quality programs that prepare career and technical education students, at certificate or associate degree levels, to enter jobs in their regions requiring those levels of expertise through planning and evaluating activities.

The SED mandates that postsecondary institutions engage in institutional planning. The Statewide Master Plans are now submitted every eight years. The mandatory institutional planning process requires that every four years, an institution re-examines its vision, mission, and goals in the context of the State's foci and institutional needs and modifies these as necessary. They also must develop comprehensive, long-term strategies that are appropriate to the institution and the community it serves. Part of that process entails

obtaining advice and feedback from business and industry, the professional accrediting bodies overseeing the licensure-qualifying programs offered, and the community at-large. A goal of the process is to ensure that the programs, courses and services offered remain relevant to the occupation or profession and that they offer the students access to technical jobs. If the institution discovers shortfalls in this self-examination process, it is expected to modify its plans and strategies accordingly.

A second planning process builds on and supports the first. The SED requires postsecondary institutions receiving Perkins funding to submit plans for the use of funds. It also requires that institutions integrate these plans into their institutional plans and into their participation on the Local Workforce Investment Boards (as enacted by Title I of the WIA). Further, the SED requires the postsecondary institutions to enlist the advice of their Local Advisory Councils (LACs) which include representatives of local businesses and industries and other concerned parties. This is to ensure the relevance of the funded activities to the needs of business and industry and to provide students with opportunities for technical employment in their areas of education. The SED evaluates the effectiveness of the plan and requires modifications as appropriate. This evaluation process will continue and will be modified as needed to support the goals of the Perkins legislation.

Using the Postsecondary Application Review Sheet (Section H. in the *Request for Non-Competitive Proposals*), the SED office responsible for postsecondary career and technical education examines the annual description of proposed activities to be certain that the proposed activities are consistent with the plan and with the requirements of the Perkins legislation. Additionally, the SED application review process will assess the performance and needs of postsecondary career and technical education in its two-year colleges and EOCs. Areas to be examined include:

- the integration of academic and career technical education;
- sequential courses leading to both academic and technical competencies;
- programs of study to increase work-skill attainment and job placement;
- linkages between secondary and postsecondary institutions to increase the number of non-remedial students entering postsecondary education;
- provision of experience and understanding of the industry that students are preparing to enter; and
- strategies to meet the needs of special populations.

The SED requires that each institution fully describe activities (funded through Perkins or other sources) to support the preparation of individuals for technical jobs. If an applicant fails to satisfy this or any other conditions or requirements of Perkins, their application must be revised and resubmitted.

Finally, the SED has established that the accountability process is, and will continue to be, a means of assessing completion and placement of participants in technical careers. If performance measures for an institution reflect unmet performance standards, the SED requires that institution to submit a local

improvement plan that must be approved and the institution then must implement that plan.

2(g-h) How will programs prepare CTE students, including special populations, to graduate from secondary school with a diploma; and, how these programs will prepare all CTE students academically and technically for postsecondary education or entry into high-skill, high-wage, high-demand occupations in current or emerging occupations, and how participating students will be made aware of such opportunities.

To achieve its vision of education reform, New York State has launched a P-16 initiative that reaffirms our commitment to closing the great divide in achievement along lines of income, race and ethnicity, language, and disability while keeping up with growing demands for still more knowledge and skill in the face of increasing competition in a changing global economy.

The elements of New York's model presents a call for change in perspective and approach. The Career and Technical Education (CTE) team sees the P-16 initiative as the next step in the growth of CTE in the state. To that end, Perkins and the SED challenge educational agencies to develop programs that serve as gap-closing strategies which address urgent issues of high school graduation and college persistence rates.

Perkins funds received by a local recipient must be used to improve career and technical education programs in a way that is consistent within the overall P-16 context.

The New York State Board of Regents continues to improve career and technical education for both secondary and postsecondary education. In the area of secondary education, the Board has sought improvements by:

1. making quality career and technical education programs accessible to all populations and preparing individuals to enter successfully and immediately into employment and/or postsecondary education;
2. providing needed modifications, support services, and linkages with other funding sources in order to ensure full access to members of special population groups to participation in career and technical education programs;
3. providing developmental and support services to participants at all educational agencies offering career and technical education programs in order to improve the quality of instruction;
4. expanding the capability of the career and technical education system to meet the training needs of individuals and of business and industry by expanded use of resources like New York's *Career Zone* website.

5. promoting articulation among secondary and postsecondary agencies and other agencies delivering career and technical education, continuing education, employment and training programs and human services related to obtaining employment;
6. integrating career development, employability skills, work-based learning, and career and technical education instruction with academic instruction at the middle, secondary, postsecondary and adult noncredit levels;
7. promoting participation for all special needs populations in career and technical education student leadership organizations;
8. designing, implementing and assessing the effectiveness of secondary instructional models that provide integrated instruction.

2(i) How funds will be used to improve or develop new career and technical education courses.

Local educational agencies are encouraged to develop programming that is grounded in labor market information provided by the New York State Department of Labor. The SED no longer seeks to develop specific courses as the method of strengthening local programs but, rather, pursues the goal of raising standards for all students in New York State including those enrolled in areas most closely associated with career development efforts.

New York's 28 learning standards and the specific Career Development and Occupational Studies (CDOS) learning standards also provide the foundation for effective program design.¹ SED staff will continue to support the efforts of many delivery approaches (e.g., New Vision, High Schools that Work, Career Academy and other models).

A major continuing effort of the SED relates to the development of classroom practices and strategies for CDOS. Through a rigorous peer-review process, career/technical and academic educators develop, present and revise actual classroom activities based on CDOS content. When approved by the SED, the strategies are added to those already on the SED web site.

¹ The CDOS learning standards are: 1. Career Development—all students will be knowledgeable about the world of work, explore career options, and related personal skills aptitudes, and abilities to future career decisions. 2. Integrated Learning—Students will demonstrate how academic knowledge and skill are applied in the workplace and other settings. 3a. Universal Foundation Skills—students will demonstrated mastery of the foundation skills and competencies essential for success in the workplace, 3b—Students who choose a career major will acquire the career-specific technical knowledge/skills necessary to progress toward gainful employment, career advancement, and success in postsecondary programs.

At the postsecondary level, institutions may not expend Perkins funds on programs that have not been registered by the Commissioner of Education as meeting the standards of quality in the Regulations of the Commissioner of Education. However, they may use such funds as needed to support the development of new courses within registered programs. When modifications to a registered program reach the level of a major revision, the revised program becomes subject to review against the standards for its continued registration.

2(j) How you will facilitate and coordinate communications on best practices among successful recipients of tech prep program grants under Title II and other eligible recipients to improve program quality and student achievement.

Yearly regional meetings, to be coordinated by the CTE Resource Center (under contract with SED), will bring members of the CTE community together to share best practices in workshops and seminars.

SED staff present updates to the CTE professional groups and student leadership organizations including: Association of Marketing and Management Educators (DECA); Health Occupations Educators of America (HOSA); National Business Education Association (NBEA); Business/Marketing Teachers Association of NYS (BTANYS); New York State Association of Family and Consumer Science Educators; NYS Association of FFA (formerly Future Farmers of America); New York State Technology Educators Association (NYSTEA); Association of Career and Technical Education Administration (ACTEA); and Skills USA.

New York State has prepared an RFP for the development of Career Pathways Programs which will be charged with the coordination of Title II tech-prep activities and those carried out by other eligible agencies.

Regional meetings will be made available for the Career Pathways Programs in Tech Prep and Perkins basic grant providers. Featured topics for these meetings will not only be Career Clusters/Career Pathways and Programs of Study (POS), but articulation agreement development, accountability and the accompanying best practices of these important areas made available from proven programs. Electronic communications and distribution of best practices will be used including websites, video and audio conferencing, webcasting, listservs, blogs, and podcasts.

Applicants for postsecondary basic grant funding must submit abstracts of each major effort. Once all applications have been approved, the State Education Department distributes the collected abstracts to all the funded postsecondary institutions. In this manner, best practices are shared among institutions annually.

2(k) how funds will be used effectively to link academic and career and technical education at the secondary and postsecondary level in a manner that increases student academic and career and technical achievement;

2(l) how you will report on the integration of coherent and rigorous content aligned with challenging academic standards in career and technical education programs in order to adequately evaluate the extent of such integration.

The Board of Regents has targeted 13 areas for action in its P-16 agenda. The CTE team is exploring the development of increased flexibility in pathways that use New York's program approval process as a model. The SED has begun a review of New York's learning standards which will open the dialogue on the modalities that may be employed to expand the use of integrated academics in CTE.

The P-16 initiative also calls for the creation of student data system to drive improvements in graduation rates in high school and higher education. Connecting P-16 data statewide could provide educators with the diagnostics and predictors they need to improve student persistence and graduation. Systemic P-16 data collection and reporting initiatives will also support policy decision-making by the Regents and streamline the Department's accountability and reporting requirements.

The following table presents the Regents P-16 initiative action points in the left column. Items in the call out boxes show CTE's point of contact with the reform agenda.

Students

1. Promote a **sustainable early education program** for all students. Resolve issues of standards, funding and service delivery for young children.
2. **Improve academic outcomes for children with disabilities** by setting performance targets, promoting effective practices, and holding schools accountable for dramatic improvements.
3. **Improve outcomes for English Language Learners** by setting performance targets, promoting effective practices, and holding schools accountable for dramatic improvements.
4. **Improve high school attendance and graduation rates** by setting performance targets, promoting practices that remove barriers to graduation, and holding schools accountable for dramatic improvements.
5. **Report student persistence and college completion results**, and increase investment in programs that have been shown to remove barriers to graduation.

The NAVE report concludes that CTE enhances earnings after high school; particularly for the most at-risk groups..

Students with disabilities (SWDs) have historically comprised about 24% of CTE enrollment (including 9-12 & ungraded: i.e., ages 14-21; according to an independent study, those CTE completers have higher graduation rates than their non-CTE counterparts(see Magi 3 p. 14).

As New York's assessment requirements have increased the numbers of SWDs completing CTE programs decreased from an average of 16% in the last 4 years, to 9% in the 05-06 school year.

Career Academies: studies have shown that they reduce dropout rates and increase attendance and credits earned for high risk students. For low risk, study shows that academies increase on time graduation rates (Kemple/Snipes 2000 in Stone, "Highlights").

Per American Youth Policy Forum, there is a close connection between CTE and many high school reform movements: SLCs with a career focus, contextualized, project-based learning that maintains high standards while providing strong pathways to future education and training.

HSTW: review of literature shows schools that implement model faithfully have improved achievement, have higher rates of attendance, retention, graduation, and postsecondary enrollment

Participation in CTE increases student awareness of how both the technical and academic course content explicitly relates to a chosen career path. This connection appears to motivate students to complete their programs of study. In the most recent study period (2004-2005), fewer minority students withdrew from CTE programs than from high school. Less than half as many African American and one-third fewer Hispanic CTE students left CTE programs than their non-CTE counterparts did high school ("MAGI 3," p. 14).

MAGI found that CTE participation promotes clarity in career planning. More CTE students received help in planning their future and were more certain of career plans and choices than their non-CTE classmates. CTE appeared to significantly enhance the high school experience for minority students "...more minority students in the CTE sample saw high school as relevant to their future than did their counterparts in the non-CTE group" ("MAGI 3," p. 24).

CTE can be employed as a strategy to reach students who belong to the "forgotten middle" or "the neglected majority." These are students who do not identify themselves as being on the college-bound academic path or career and technical education path. To some educators, the path taken by a large part of the middle, two quartiles of students, amounts to a "tracking system by default." These students will graduate from high school, but will not possess the skills to attend college or begin a career.

CTE may be a strategy that offers the "forgotten middle" more options. According to Brand, the CTE approach and the articulated career pathways it offers, has resulted in thousands of "middle-performing students, who might never have considered college, to pursue college classes." ¹ MAGI reports similar findings. The articulation agreements studied served as a vehicle to move students into postsecondary studies. Additionally, the dual credit offered within a coherent sequence had more of an impact on CTE students' decisions to attend college than the "stand-alone" credits influenced non-CTE peers (MAGI, p. 21).

Systems

6. **Raise the learning standards to exceed global standards** to graduate all students ready for citizenship, work, and continued education. **Align standards, assessments, curriculum and instruction across P-16, emphasizing transitions.**

Tech Prep: graduates of "mature" tech prep programs are more likely to : enter two-year postsecondary education (to a slight degree); be employed full time, hold more highly skilled and technical jobs. (Bragg 2001 in Stone)

Per James Stone: "Despite years of reform efforts, most high schools still have a pathway for the academically gifted students and for those students thought headed to early labor market entry. The rest of the students are left to wander haphazardly through the high school years. Thus we have the academic 'track', the vocational 'track' and the general 'track.' One result of several CTE/STW reform efforts is the beginnings of a fourth 'track', one comprised of students who follow a rigorous academic sequence of courses and a rigorous sequence of CTE courses. These 'dual concentrators' while small in numbers, may represent the natural conclusion of these reform efforts."

The "forgotten middle" students have neither engaged in a purely college preparation concentration nor a career and technical education concentration. While the Regents Policy on CTE provides the flexibility to complete a "dual concentration" (i.e., meeting college preparation requirements while obtaining technical skills and exploring a career direction), many students do not take this path. Dual concentration offers career specific learning that is connected to changing industry demands and rigorous academics needed for postsecondary education. Completing a dual concentration program could provide a purposeful, not general, path for the "forgotten middle" students.


7. **Strengthen instruction.** Define, reduce and then eliminate the inequitable distribution of teaching talent. Require all teachers of core academic subjects to be highly qualified in the subject they are teaching by July 2007. Improve teacher retention. Focus professional development on effective practices in areas in which academic needs are greatest. Accelerate the **integration of technology** into teaching and learning practices in P-16 institutions.

The program approval process ensures that CTE courses offering integrated academic credit are taught by highly qualified teachers (as defined by NCLB).
The Alternative Certification option serves as an effective route to fill CTE positions with professionals from the field (e.g., engineers) who are beginning second careers in CTE classrooms.

8. Advocate for a **Foundation Formula** to provide State Aid that is adequate, sustainable, fair, and commensurate with the cost of education that enables students to meet the standards.

9. **Strengthen the capacity of the State Education Department** to support schools as they work to improve student achievement and the Department's capacity to hold them accountable for doing so.

10. **Create a P-16 student data system** to drive improvements

	in graduation rates in high school and higher education.	
Structures	11. Reduce barriers to teaching and learning in high need schools by creating a vision and leadership framework for an integrated education, health and mental health collaboration . Promote strategies found to be promising in resolving high incident health and mental health problems among children.	 <p>Use of Career and Technical Education Resource Center and regional conferences to unite stakeholders on programs of study</p>
	12. Create P-16 Councils to advise the Regents on actions to strengthen USNY and improve student outcomes dramatically at each transition point in the P-16 system.	
	13. Focus regional education networks on joint P-16 strategies and actions to improve student outcomes.	

8. How New York will provide local educational agencies, area career and technical education schools and eligible institutions in the state with technical assistance.

SED staff provide technical assistance to local educators through existing practices and networks, such as Regional School Support Centers (RSSC), Teacher Centers, Special Education Training and Resource Centers (SETRC), Staff and Curriculum Development Network (SCDN), and the Career and Technical Education Resource Center (CTERC). CTE subject area content experts within the SED provide specific expertise in the areas of curriculum and instruction, assessments, evaluation and reporting, and professional development. Planning, technical assistance and monitoring activities assure that overall programming is in compliance with legislative requirements.

Data are carefully reviewed by SED staff to measure progress toward accomplishing goals, major efforts, achievement of performance standards; and to target on-site technical assistance visits through the CTERC. Staff recognize and encourage coordination and linkages with other local and State agencies and resources to maximize services. During the transition year, technical assistance efforts will be focused on CTEPPs, program improvement strategies, and ongoing implementation of the new accountability requirements. All of these activities will be linked to the SED's continuing emphasis on setting clear, high expectations; establishing high and uniform standards; building the capacity of school districts and postsecondary institutions to enable all students to attain these standards; and measuring and reporting results.

Recipients having difficulty in the planning process and/or implementing the accountability requirements will receive in-depth assistance. It is expected that regional meetings and/or video conferencing will provide local practitioners with assistance in implementing the new accountability system.

In 2006-2007, guidance was provided at conferences/workshops of various professional associations and groups. These included the Association of Career and Technical Education Administrators, local Tech Prep Coordinators/Directors, Large Five Cities Career and Technical Education Directors, and Grants Officers of postsecondary institutions. During the next year, secondary and postsecondary administrators of career and technical education will attend SED-sponsored workshops by state and national consultants that will provide information on State administration; local program operation; evaluation, accountability, and performance strategies; gender equity; special populations; and collaborations with WIA partners.

Seven, one-day regional meetings will be conducted across the State that will include presentations and workshops to career and technical, adult, academic, and alternative education teachers, guidance staff, and administrators in secondary schools. These meetings will assist educators in meeting the challenges associated with implementing the CDOS learning standards, the CTE approval process and related technical assessments.

The SED will continue using its electronic linkages, including a comprehensive website that provides current information and technical assistance from each of the major offices within the SED. The site for the OCIS contains information and technical assistance resources on federal and State legislation and fund sources, policy memoranda, curriculum and assessments, school-to-careers, Tech Prep, and civil rights and equity. Links are provided to other State agencies and other sites

around the country. E-mail discussion lists provide the workforce preparation and education community with a means to share information and obtain technical assistance on career and technical education, Tech Prep, workforce preparation, adult and continuing education, workforce development partners, and other related issues. These lists are used by the OCIS to provide technical assistance to keep local educators current, and enable educators to share information on innovative methods, model programs and effective practices.

The State Education Department annually convenes all postsecondary grantees to review procedures for administering Perkins funds. Consideration is being given to convene these postsecondary grantees as part of the regional meetings. Subject to the availability of funds, SED staff persons serving as regional liaisons will provide annual, on-site technical assistance to postsecondary providers with respect to the analysis of program performance data and the development of local improvement plans.

The State Education Department will provide technical assistance to postsecondary institutions by continuing to conduct an annual workshop to review annual funding application guidelines. This workshop provides an opportunity to discuss strategies for using Perkins funds to improve the academic performance of special population students who are enrolled in career and technical programs. Additional technical assistance will be provided through information advisories which are periodically distributed via email to postsecondary institutions.

Perkins funds will continue to support the Non-traditional Employment and Training (NET) Project, which is also located in the Center for Innovation in Career Development on one of the State University of New York campuses. This Project provides statewide technical assistance to secondary and postsecondary career and technical education programs regarding nontraditional gender career options. The project maintains a website that includes a resource library and career search links, focusing on links that may encourage women to consider science and technology careers. The Project will continue to conduct the annual Vanguard Award series, recognizing outstanding secondary and postsecondary level students who are enrolled in CTE programs that are nontraditional for their gender. Plans also are underway to offer regional “Webinars” as a form of statewide technical assistance. The Center website has received recognition from other states as a model for providing technical assistance.

III. Provisions of Services for Special Populations

A. Statutory Requirements

New York's program strategies for special populations listed in Section 2 (29) of the Act, including a description of how individuals who are members of the special populations—

- a) Will be provided with equal access to activities assisted under the Act;
- b) Will not be discriminated against on the basis of their status as members of special populations; and
- c) Will be provided with programs designed to enable the special populations to meet or exceed state adjusted levels of performance, and how New York will prepare special populations for further learning and for high-skill, high wage, high demand occupations. [Sec. 122(c)(9)(A)-(C)]

The SED continues its multi-pronged approach in an effort to ensure full inclusion of special populations in the programs, activities, services and opportunities funded through Perkins.

On the secondary level, the SED will examine local applications, local improvement plans and CTE Program Plans as well as their relationship to the statewide core performance measures and local performance indicators. At each step, the local agency will be required to describe how proposed strategies and expenditures will be responsive to the needs of members of special populations. If local performance indicators for special populations enrolled in career and technical education programs fail to meet statewide core performance measures for special populations, the local agency will be required to develop an improvement plan or amend its Career and Technical Education Program Plan (CTEPP) to include program strategies that address the needs of special populations. If a local improvement plan is required or the CTEPP requires amendment, the plan's strategies must be incorporated in the annual proposal for Perkins-funded activities.

Stakeholders will be involved at every major step in the process. Prior to the preparation of local plans and applications, eligible recipients will be provided technical assistance through SED guidelines, state-developed application and review forms, and workshops to be held across the state. Local improvement plans/CTE Program Plans/applications will describe how the local agency is accountable for each of the special populations in meeting the core performance measures.

Annual funding applications will describe how institutions will be accountable for each of the special populations in meeting core performance measures. This will be required in the CTE Program Plan and in any required local improvement plan. Relevant data will also be collected and analyzed separately in the performance measures reporting process where core indicators are reported separately for the general population and for special populations. The definition of special populations will be modified to accommodate the elimination of the category "individuals with other barriers to employment."

In addition, each postsecondary institution will be required to report enrollment and performance data, by each special population category, for each career and technical education program offered at every postsecondary institution participating in Perkins. This will enable institutions and SED to track the participation of special populations, including those enrolled in CTE programs leading to nontraditional training and employment, and to assess the degree of effectiveness of the institution's efforts.

- a) **Equal Access:** New York's P-16 initiative focuses on the needs of special populations to improve academic outcomes for children with disabilities by setting performance targets, promoting effective practices, and holding schools accountable for dramatic improvements. An expanded role for CTE will address the fact that some students with disabilities do not leave school ready for either postsecondary education or employment. The CTE team also looks forward to a closer partnership with the Office of Vocational Education and Services for Individuals with Disabilities (VESID). Increasing participation in interest-based learning that CTE offers has shown to improve the performance of many special population students.
- b) **Nondiscrimination:** Enrollment data on each special population will be disaggregated by category and gender and reported on a regular basis to ensure that special populations are not discriminated against. This data is reported on the Institutional Profile. Satisfactory completion of the profile will be a condition of approval for the application and the release of funds. Local educational agencies will be required to provide assurances that they will not discriminate against the special populations defined in Perkins. A second condition for application approval will be a Statement of Assurances, signed by the chief executive officer/chief school officer, that the agency will not discriminate against federally defined special populations.
- c) **Programs designed to enable special populations to meet or exceed performance standards:** The mission of the Board of Regents of the University of the State of New York is to raise the knowledge, skill, and opportunities of all the people of New York. One of the six specific goals of the Regents is for all students to meet high standards for academic performance and personal behavior, and to demonstrate the knowledge and skills required by a dynamic world. Another is to ensure that education, information, and cultural resources will be available and accessible to all people. The mission and the goals of the Regents and its administrative arm, the SED, serve to support and indeed strengthen the aim of Perkins to provide effective programming and services to members of special populations who are enrolled in CTE programs in secondary and postsecondary institutions in New York State.

Local plans and applications will describe strategies for each of the special populations that will be implemented to ensure successful participation in career education. Annual funding applications will be required to identify the needs of special populations and develop strategies to accommodate those needs. This will be accomplished in a variety of ways. First, the Local Advisory Council, which includes representatives of special populations, must provide input into the local plan and in

the annual funding application development process. Second, if the local performance indicators for special populations fall below SED standards, the eligible recipient must address the needs of special populations in its local improvement plan and in annual funding applications. Moreover, all eligible recipients will be required to address the needs of special populations in the local plan and annual funding applications, and to report on the number of students served and the expenditures for each special population category. Finally, the applicants must ensure equitable access and participation to all funded activities by addressing the special needs of students, teachers and other program beneficiaries in order to overcome barriers to full participation. These barriers include those based on gender, race, color, national origin, disability and age. Each requirement continues to be evaluated as a condition for approval within the application review process at the State level.

IV. Accountability and Evaluation

A. Statutory Requirements

1. You must describe procedures you will use to obtain input from eligible recipients in establishing measurement definitions and approaches for the core indicators of performance for career and technical education students at the secondary and postsecondary levels, as well as for any other additional indicators of performance identified by the eligible agency. [Sec. 113(b)(1)(A)-(B), sec. 113(b)(2)(A)-(C)]

Stakeholders will be involved at every major step in the process. Prior to the preparation of local plans and applications, eligible recipients will be provided technical assistance through SED guidelines, State-developed application and review forms, and workshops. During the course of the previous transition year, special secondary and postsecondary meetings were held to provide a forum for information sharing, model programs, and speakers on issues related to Perkins, including services to special populations. We anticipate that this will be the case throughout the upcoming transition period. During the transition year the SED, Office of Instructional Support and Development and Office of Higher Education will invite other constituencies to provide input into the process of tracking student outcomes. At the secondary level, Directors of Career and Technical Education of the Large Five City School Districts and the Association of Career and Technical Education Administrators will be invited to collaborate with the SED on the changing landscape in the accountability context.

Regarding the development of postsecondary performance indicators, the State Education Department Office of Higher Education convenes a Postsecondary Performance Standards Advisory Group. This group, representative of all the postsecondary institutions that receive Perkins funds, will meet in conjunction with the State Education Department early in the transition year to recommend approaches for the core indicators of performance. These recommendations then will be shared with the other postsecondary institutions as a basis for additional input.

2. You must describe the procedures you will use to obtain input from eligible recipients in establishing a State adjusted level of performance for each of the core indicators of performance for career and technical education students at the secondary and postsecondary levels, as well as State levels of performance for any additional indicators of performance identified by the eligible agency. [Sec. 122(c)(10)(A), sec. 113(b)(3)(B)]

The annual evaluation of career and technical education programs at the secondary level is based on a three-stage process. In the first phase, three types of data are collected by survey of local education agencies. Data are collected on the academic performance of secondary career education program completers. Data are also collected on the number of students enrolled in career and technical education and the number of completers. Finally, for program completers, follow-up information is collected approximately six months after program completion, identifying the extent to which completers are employed, are in the military, are enrolled in postsecondary education, are unemployed or other. In phase two, these data are analyzed by the SED and turned into a report indicating the extent to which each eligible recipient has met the standards of performance for each measure. In phase three, the report is sent back to the eligible recipient. The eligible recipient then brings together an evaluation committee comprised of career and technical education program personnel including teachers, special population representatives, and employers to review the results and develop suggestions for program improvement which are used to amend the local agency's CTEPP. The amended CTEPP is then used in the development of the eligible recipient's application for Perkins funds. A similar process is used for adult career and technical education programs provided by secondary agencies. Experience with this approach has been positive, and the SED expects to continue it using the Perkins core indicators.

In developing the secondary career and technical education evaluation, care has been taken to use existing testing systems to collect data on academic performance. Consequently, academic data collected are based on the use of the tests employed as a graduation requirement in New York State. In addition, data on completion and follow-up are shared with other state agencies that annually report on workforce evaluation for New York State. The SED will continue to pursue non-duplication in its development of core indicators for Perkins.

For postsecondary, the longstanding Postsecondary Performance Standards Advisory Group will be convened early in the transition year. This advisory group of approximately twenty members includes grants officers, institutional research coordinators, academic policy makers and other appropriate administrators from the postsecondary institutions that receive Perkins funds. This group also includes representation, to the maximum extent possible, for the special population categories identified under the Perkins Act. This representation will provide a broad perspective of local performance needs and resources. In conjunction with the State Education Department, the discussions of this group will set the stage for a broader discussion with all the postsecondary institutions that receive Perkins funds. The recommendations of the advisory group will establish a template and a pattern for the discussions with all the institutions that will occur during the remainder of the transition year.

Since the postsecondary institutions in New York comprise public and nonpublic sectors, somewhat based on demographics, the establishment of performance standards may occur according to sector affiliation. This occurrence could result in multiple institutions agreeing to similar standards.

The discussions with postsecondary institutions will occur simultaneously with the collection of performance data during the transition year. As a result, definitions may need to be qualified and data reliability may need to be strengthened. Much of this discussion and process will be based on differences between the data that needs to be reported from the State to the federal level and the data results that will be reported from the State to the institutions. The performance data reported by postsecondary institutions to the State Education Department during the first two years will be the basis for establishing State adjusted levels for each performance indicator.

3. You must identify, on the forms in Part C of this guide, the valid and reliable measurement definitions and approaches that you will use for each of the core indicators of performance for career and technical education students at the secondary and postsecondary/adult levels, as well as any additional indicators of performance identified by the eligible agency, that are valid and reliable. You must describe how your proposed definitions and measures are valid and reliable. [Sec. 113(b)(2)(A)-(B)]

See accompanying Part C.

4. You must describe how, in the course of developing core indicators of performance and additional indicators of performance, you will align the indicators, to the greatest extent possible, so that information substantially similar to that gathered for other State and Federal programs, or for any other purpose, is used to meet the Act's accountability requirements. [Sec. 113(b)(2)(F)]

At the secondary level, beginning in 2006-2007, New York is implementing a Student Information Reporting System (SIRS) based upon individual student records. It will provide a single source of standardized individual student records for analysis at the local, regional, and State levels to improve student performance and to meet State and federal reporting and accountability requirements across all programs.

The annual evaluation of postsecondary career and technical education programs is accomplished through locally collected data reported to the SED Office of Research and Information Systems (ORIS). Persistence, completion, and placement data are collected for postsecondary programs. The data collected are reviewed by the SED to determine a recipient's status. This review uses established standards to determine the rate of improvement made from year-to-year for specific career and technical education programs. Data are collected and reviewed for both overall career and technical education program students and for aggregate special populations. The ORIS is responsible for all postsecondary data and research activities.

As such, it interacts with numerous local, State and federal agencies having data, research and accountability responsibilities. During the transition year, in conjunction with input from sources such as the ORIS Committee of Practitioners, the ORIS will review its collection procedures for all relevant postsecondary responsibilities including Perkins. In order to avoid duplication with other federal programs, efforts were made to assure common definitions across data elements. These efforts ensured non-duplication with programs such as the Integrated Postsecondary Education Data System (IPEDS). Efforts will continue to ensure consistency between the Perkins and the IPEDS data systems.

5. On the forms provided in Part C of this guide, you must provide, for the first two years covered by the State plan (July 1, 2007 – June 30, 2008 and July 1, 2008 – June 30, 2009), performance levels for each of the core indicators of performance, except that States submitting one-year transition plans are only required to submit performance levels for part of the indicators as discussed above. For performance levels that are required, the States' performance levels, at a minimum, must be expressed in a percentage or numerical form, so as to be objective, quantifiable, and measurable; and require the State to continually make progress toward improving the performance of career and technical education students. [Sec. 113(b)(3)(A)(i)-(II)]

Since New York State is submitting a one-year transition plan, there is no requirement to report baseline data other than prepopulated rates for the legislated secondary performance indicators, as in the FAUPL in Part C.

Since New York State is submitting a one-year transition plan, there is no requirement to report baseline data for the legislated postsecondary performance indicators.

6. You must describe your process for reaching agreement on local adjusted levels of performance if an eligible recipient does not accept the State adjusted levels of performance under section 113(b)(3) of the Act and ensuring that the established performance levels will require the eligible recipient to continually make progress toward improving the performance of career and technical education students. [Sec. 113(b)(4)(A)(i)(II); sec. 122(c)(10)(B)]

Local accountability is based on each recipient reporting valid, reliable and accurate data on student performance and outcomes for each of the Perkins performance indicators.

Recipients of secondary Perkins funds must use each of the Perkins performance indicators and standards to evaluate their career and technical education programs. Local recipient performance data is submitted to the SED for analysis, and is then returned to the local recipient to evaluate its

CTE programs. If any of the performance results fall below State standards, the recipient must submit a Program Improvement Plan (PIP) with its application for funds. The plan, developed by the local recipient, must detail the program improvement strategies to be implemented to ensure further progress towards reaching the performance standards.

Local performance standards for each of the performance indicators have been, and will continue to be, identical to those negotiated by the SED with the United States Department of Education.

Under Perkins, secondary local recipients experiencing unanticipated circumstances or with consistent low performance on one or more indicators, and with a minimum of three years of CTEDS data reported to the SED, may request negotiation of local performance standards for any of the specific indicator(s) for which performance has not been met. A three-year trend analysis of past performance will be used to establish a baseline of performance for negotiation. Reasonable, appropriate and mutually agree-upon standard(s) of performance will be reached and reflected in the PIP that will be submitted. Through the corrective actions described, it is expected that the State performance standard(s) will be reached by the local recipient within three years.

For postsecondary, the Performance Advisory Group, representative of all the postsecondary institutions that receive Perkins funding, will be convened early in the transition year to discuss, with the State Education Department, options for reaching agreement on local adjusted levels of performance. Results of these discussions will be shared later in the transition year with all the postsecondary institutions. Institutions will be expected to adopt the State adjusted levels of performance for the first two reporting years. Performance data reported by postsecondary institutions to the State Education Department during the first two years will be the basis for establishing State adjusted levels for each performance indicator. After the first two years, institutions that have performed below the State adjusted levels of performance may enter into a negotiation with the State Education Department regarding alternative levels. An institution must provide data that demonstrates why alternative levels are appropriate. The State Education Department will review this data and its relevance to improving student performance.

Continuing the process established under Perkins III, all institutions receive annual performance reports from the State Education Department. These reports reflect the performance of students according to career clusters and programs. Institutions must either meet the adjusted level of performance or reflect a three percent improvement from the prior year. Where these criteria are not met, an institution must submit a local improvement plan as part of their annual application. The local improvement plan must include specific strategies and timeline that result in improved student performance.

7. You must describe the objective criteria and methods you will use to allow an eligible recipient to request revisions to its local adjusted levels of performance if unanticipated circumstances arise with respect to an eligible recipient. [Sec. 113(b)(4)(A)(vi)]

For secondary, see #6 above.

For postsecondary, as discussed above for item #6, institutions will be expected to adopt the State adjusted levels of performance for the first two reporting years. After this, institutions that have performed below the State adjusted levels of performance may enter into a negotiation with the State Education Department regarding alternative levels. An institution must provide data that demonstrates the appropriateness of the alternative level of performance recommended by the institution or program, and evidence of otherwise acceptable performance.

8. You must describe how you will report data relating to students participating in career and technical education programs in order to adequately measure the progress of the students, including special populations and students participating in tech prep programs, if applicable, and how you will ensure that the data reported to you from local educational agencies and eligible institutions, and the data that you report to the Secretary, are complete, accurate, and reliable. [Sec. 122(c)(13); sec 205].

Specific to secondary data reporting, see #4 above.

As noted in its response to the 2005 USDE monitoring visit recommendation, the State Education Department is addressing the need to improve accountability. The State Education Department has proposed legislation to the State Legislature regarding a unit record system for wage and employment data. Currently, an automated record system exists but is used by a separate State agency for tax data purposes. The proposed legislation would provide access by the State Education Department to this information. If enacted, this legislation would provide for State level employment and wage follow-up, lessening a reliance on local level follow-up for this information.

Although not a specific finding of the monitoring visit, the review team commented that, for the postsecondary reporting of data in the CAR, there was an absence of ethnic data for each gender. The State Education Department developed an Action Plan and Timeline for this finding. One of the steps on the timeline was to initiate a pilot activity with 3-4 postsecondary institutions, whereby data could be accessed from the State level, relieving the burden of reporting on the local level. The pilot activity is completed and all postsecondary institutions are participating in providing appropriate data to the State Education Department.

A specific finding of the monitoring visit for postsecondary addressed the need to report Tech-Prep student data on the postsecondary level. An action Plan was developed to commence in the

spring of 2006. The action steps proposed by the State Education Department have resulted in the request of local Tech Prep consortia for appropriate student data.

9. You must describe how your State plans to enter into an agreement with each consortium receiving a grant under Perkins IV to meet a minimum level of performance for each of the performance indicators described in section 113(b) and 203(e) of the Act. [Sec. 204(e)(1)]

The minimum levels of performance and allocations among secondary eligible recipients and consortia are described in the annual request for non-competitive proposals. All consortia that are allocated funds have, as a condition for accepting the grant, a stipulation that authorized program funds may be used only for the mutual benefit of all consortium members. No funds shall be used for the sole benefit of an individual consortium member. One grantee must be named as the lead agent for the consortium and be responsible for the local service area planning, program evaluations, data collection and reporting, local advisory council, and fiscal duties of the entire consortium.

The Title II transition plan, Section V, describes this topic.

10. You must describe how you will annually evaluate the effectiveness of career and technical education programs, and describe, to the extent practicable, how you are coordinating those programs with other Federal programs to ensure nonduplication. [Sec. 122(c)(8)]

The annual evaluation of career and technical education programs at the secondary level is based on a three-phase process. In the first phase, three types of data are collected by survey of local education agencies. Data are collected on the number of students enrolled in and completing career and technical education programs. CTE completer data at the secondary level includes academic performance. For program completers, follow-up information is collected approximately six months after program completion, identifying the extent to which completers are employed, are in the military, are enrolled in postsecondary education, are unemployed, or other. In phase two, these data are analyzed by the SED and turned into a report indicating the extent to which eligible recipients have met the standards of performance for each measure. In phase three, the report is sent back to the eligible recipient. The eligible recipient then brings together an evaluation committee comprised of career and technical education program personnel including teachers, special population representatives, and employers to review the results and develop suggestions for program improvement which are used to amend the local agency's CTEPP. The amended CTEPP is then used in the development of the eligible recipient's application for Perkins funds. Experience with this approach has been positive, and the SED expects to continue it using the Perkins core indicators.

In developing the secondary career and technical education evaluation, care has been taken to use existing testing systems to collect data on academic performance. Consequently, academic data collected are based on the use of the tests employed as a graduation requirement in New York State. In addition, data on completion and follow-up are shared with other state agencies that annually report on workforce evaluation for New York State. The SED will continue to pursue non-duplication in its development of core indicators for Perkins.

The annual evaluation of postsecondary career and technical education programs is accomplished through locally collected data reported to the SED Office of Research and Information Systems (ORIS). Persistence, completion, and placement data are collected for postsecondary programs. The data collected are reviewed by the SED to determine a recipient's status. This review uses established standards to determine the rate of improvement made from year-to-year for specific career and technical education programs. Data are collected and reviewed for both overall career and technical education program students and for aggregate special populations. A recipient that is not performing appropriately in career clusters is required to develop a local improvement plan to include, in part, the application of Perkins funds to address the area of need.

The ORIS is responsible for all postsecondary data and research activities. As such, it interacts with numerous local, State and federal agencies having data, research and accountability responsibilities. During the transition year, in conjunction with input from sources such as its Committee of Practitioners, the ORIS will review its collection procedures for all relevant postsecondary responsibilities including Perkins. In order to avoid duplication with other federal programs, efforts were made to assure common definitions across data elements. These efforts ensured non-duplication with programs such as the Integrated Postsecondary Education Data System (IPEDS). Efforts will continue to ensure consistency between the Perkins and the IPEDS data systems.

B. Other Department Requirements

1. Except as noted above with respect the States submitting one-year transition plans, you must provide all the information requested on the forms provided in Part C of this guide to report accountability data annually to the Secretary under section 113(c)(1)-(2), including:
 - 1(a) The student definitions that you will use for “participants” and “concentrators” for the secondary core indicators of performance.

For secondary, the federal definition for participants and concentrators has been modified to better reflect New York State’s career and technical education program.

- 1(b) The student definition that you will use for “concentrators” for and the postsecondary/adult core indicators of performance;

Note: Based on our non-regulatory guidance, we have pre-populated the terms “CTE participant” and “CTE concentrator” in the student definition section of the attached FAUPL for your convenience. A State that chooses to propose other terms and student definitions would have to describe how its proposed terms and definitions would be valid and reliable. See section IV., A., 3. above.

For postsecondary, the federal definition for “participant” and “concentrator” will be adopted. See accompanying Part C.

- 1(c) Baseline data for the core indicators of performance under section 113(b)(2) using data from the most-recently completed program year, except that, for the indicators for which your State must use your State’s standards, assessment, and graduation rates adopted under Title I of the ESEA, if your State chooses to use its AMOs and targets under the ESEA, you will not need to submit baseline data; and

See Part C.

- 1(d) Proposed performance levels as discussed above, except that, for the indicators for which your State must use your State’s standards, assessments, and graduation rates adopted under Title I of the ESEA, if your State chooses to use its AMOs and targets under the ESEA, you will only have to confirm this information with your Regional Accountability Specialist. Upon your request, the Regional Accountability Specialist will pre-populate the forms in Part C with your State’s AMOs and targets for the 2007-08 and 2008-09 program years and send the forms for you to finish completing.

See Part C.

2. You must identify the program areas for which the State has technical skill assessments, the estimated percentage of CTE students who will be reported in the State’s calculation of CTE concentrators who took technical skill assessments, and the State’s plan for increasing the coverage of programs and students reported in this indicator in future program years.

Secondary CTE program areas included in New York’s program approval process are: Agricultural Education, Business and Marketing Education, Family and Consumer Sciences Education, Health Occupations Education, Technology Education, Technical Education and Trade Education.

Currently, all CTE programs that have gone through the New York State Board of Regents Approval Process (842) include a technical assessment that is “nationally recognized or industry developed.” Approximately 60% of approved CTE program concentrators will take a technical assessment. Programs of study, as they are developed, will also include an assessment instrument.

The Career and Technical Education Data System currently collects information on the number of students taking and passing the assessment associated with the program. As New York phases in the new Student Information Reporting System (SIRS), we will begin collecting data on all CTE concentrators in school year 2007-2008. The expected increase in the number of approved programs and programs of study will result in an increase in the number of students reported in this indicator in future program years.

At present, there are approximately 33,000 postsecondary students who will receive technical skills assessments in allied health and technical programs. Postsecondary institutions that receive Perkins funds will be surveyed during the transition year to determine the extent of career and technical programs that use reliable and valid third-party assessments to measure student technical skills. This information will also provide the basis for determining baseline data on concentrators who attempt and successfully pass technical skill assessments. Early in the transition year, the Perkins Postsecondary Performance Advisory Group will be convened to provide input regarding options for increasing the coverage of programs and students reported in this indicator during the succeeding years of implementing Perkins IV. Later in the transition year, the other postsecondary institutions will be convened to provide additional input.

V. TECH PREP PROGRAMS

A. Statutory Requirements

1. You must describe the competitive basis or formula you will use to award grants to tech-prep consortia. [Sec. 203(a)(1)]

The SED will award grants contracts on a competitive basis to consortia between or among:

- a public or nonprofit private institution of higher education that offers career and technical education courses that lead to technical skill proficiency, an industry-recognized credential, a certificate, or a degree;
- a local educational agency providing education at the postsecondary level;
- an area career and technical education school providing education at the postsecondary level;
- a postsecondary educational institution controlled by the Bureau of Indian Affairs or operated by or on behalf of any Indian tribe that is eligible to contract with the Secretary of the Interior for the administration of programs under the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450 et seq.) or the Act of April 16, 1934 (25 U.S.C. 452 et seq.);
- an educational service agency; or
- a consortium of 2 or more of the entities described in subparagraphs above.

A Request for Proposals was issued in April 2007. Funding decisions will be made in June 2007 for one year. Funding of applications in subsequent years will be by a Request for Proposals in the Spring of 2008 aligned with stipulations in the five-year plan for the years 2008-2013.

2. You must describe how you will give special consideration to applications that address the areas identified in section 204(d) of the Act. [Sec. 204(d)(1)-(6)]

As part of the application approval process, all consortia must address section 204(d) of Perkins 4.

3. You must describe how you will ensure an equitable distribution of assistance between urban and rural consortium participants. [Sec. 204(f)]

There will be equitable distribution of awards between urban and rural through ten designated geographical areas. To ensure an equitable distribution between urban and rural areas, as required by federal law, the SED's strategy is to have one or more consortia in each of ten designated geographical areas in New York State. The ten areas are as follows: Capital, Long Island, Lower Hudson Valley, Mid-Hudson Valley, Mid-South, Mid-State, Mid-West, New York City, North Country/Mohawk, and West. Each of the Large Five city school districts may apply as a single school district, through consortia with a BOCES where applicable, and a postsecondary institution. All other school districts may only apply in consortia with at least one other school district, at least one BOCES, and at least one postsecondary institution. These consortia must provide evidence of having reached out to both rural and urban districts as part of their application.

4. You must describe how your agency will ensure that each funded tech prep program.

4(a) Is carried out under an articulation agreement between the participants in the consortium, as defined in section 3(4) of the Act;

Each project prepares the required proposal containing an articulation agreement between a least one secondary and one postsecondary agency, identifying a one-year transition plan, citing accomplishments to date, listing objectives and activities, and describing preparatory services and steps that assure access, outline evaluation strategies, and justify the budget request. It is expected that the employer community (business and industry) and labor be part of the articulation process.

4(b) Consists of a program of study that meets the requirements of section 203(c)(2)(A)-(G) of the Act;

Each project will need to have at least one program plan of study (POS), and preferably as many as three, based on a Career Pathway and Career Cluster as determined by the National Career Clusters Initiative (www.careerclusters.org). Each POS combines integrated academics and career and technical instruction for two years of secondary and two years of postsecondary education in a seamless curriculum without duplication. It will incorporate work-based and worksite learning experiences for students where appropriate and available and will lead to a career field that is high skill, high wage, high demand. Technical skills and core academic subjects will be attained in a coherent

sequence of courses that lead to technical skill proficiency, an industry-recognized credential, a certificate, or a degree, in a specific career field. The goal is to have each student in a POS that leads to placement in high skill or high wage employment, or to further education.

4(c) Includes the development of tech prep programs for secondary and postsecondary education that meet the requirements of section 203(c)(3)(A)-(D) of the Act;

All projects will be expected to meet New York State academic standards, that is, students must pass all five required Regents examinations in order to graduate high school; link secondary schools and two-year postsecondary institutions, and if possible and practicable, four-year institutions of higher education by providing non-duplicative sequences of courses in career fields, the use of articulation agreements, and the investigation of opportunities for tech prep secondary education students to enroll concurrently in secondary education and postsecondary education coursework. Also, projects will be expected to use, if appropriate and available, work-based or worksite learning experiences. Also, projects will be expected to use educational technology and distance learning, as appropriate, to involve all the participants in the consortium more fully in the development and operation of programs.

4(d) Includes in-service professional development for teachers, faculty, and administrators that meets the requirements of section 203(c)(4)(A)-(F) of the Act.

Technical and academic teacher/faculty professional development plans will be aligned with the State's new P-16 Initiative for the Tech Prep Program. Training is provided to secondary and postsecondary faculty and administrators in instructional delivery, assessment, and all aspects of an industry. Each program is expected to provide training for the use and application of educational and distance learning.

4(e) Includes professional development programs for counselors that meet the requirements of section 203(c)(5)(A)-(F) of the Act;

Training for counselors is designed to improve and strengthen career guidance skills and to help them stay current with employment trends, needs and expectations. Counselors and administrators are involved as part of the team effort in training and planning with teachers and faculty. Internships in business and industry are established and maintained for technical and academic staff, guidance personnel and administrators. College admission, career counselors and college faculty are included.

4(f) Provides equal access to the full range of technical preparation programs (including pre-apprenticeship programs) to individuals who are members of special populations, including the development of tech-prep program services appropriate to the needs of special populations [Sec. 203(c)(6)];

Tech Prep programs provide opportunities for teachers, counselors, administrators and employers to visit model Tech Prep Programs that have Career Pathway POSs within and outside New York State which have components for special populations. The program directors bring in consultants to conduct training sessions for teachers and counselors to assist special population students to access traditional and nontraditional careers. These sessions include topics such as standards implementation, instructional approaches for special population students, teaching strategies for applied academics for special population students, career counseling, student leadership organizations for special populations students, performance based assessment options, High Schools That Work, Welfare-to-Work and Workforce Investment initiatives, postsecondary initiatives for special population students, and evaluation techniques. Tech Prep programs also promote the attendance of teachers, counselors, administrators, parents and other community representatives to regional conferences, sponsored by the Tech Prep projects, which address, in part, special populations students.

4(g) Provides for preparatory services that assist participants in tech-prep programs [Sec. 203(c)(7)]; and

Tech Prep programs provide preparatory services to potential Tech Prep students usually through secondary guidance counselors who are the initial point of contact for eighth graders and who have received extensive professional development in Tech Prep. Typical activities include:

- Development of career orientation and guidance activities, introducing eighth grade students to careers in business and industry and promoting entry into Tech Prep programs;
- Developing and implementing career days for parents and students regarding "high-tech/high-wage careers (including nontraditional);"
- Establishing peer-mentoring programs whereby junior high school students receive career advisement and educational assistance from college students; and
- Establishing transition programs within Career Pathway programs of study.

Tech Prep directors/coordinators also develop activities to encourage students to enter Career Pathway Programs in Tech Prep. These include:

- Development of summer programs to prepare students in mathematics and science prior to enrollment in Tech Prep programs; and
- Preparing Tech Prep descriptive materials for recruitment.

4(h) Coordinates with activities under Title I. [Sec. 203(c)(8)]

Tech Prep Programs in transition to Career Pathway Programs will be coordinating local and regional Perkins basic grants contracts, coordinating secondary and postsecondary institutions' programs; assisting in sharing best practices; assisting with the development of articulation agreements and programs of study.

5. You must describe how your State plans to enter into an agreement with each consortium receiving a grant under Perkins IV to meet a minimum level of performance for each of the performance indicators described in sections 113(b) and 203(e) of the Act. [Sec. 204(e)(1)]

The SED will use the indicators of performance and accountability developed for Perkins (see Section 203(e)).

B. Other Department Requirements

You must submit a copy of the local application form(s) used to award tech prep funds to consortia and a copy of the technical review criteria used to select winning consortia, if funds are awarded competitively.

See Attachments, D.

VI. Financial Requirements

A. Statutory Requirements

1. Allocation between secondary and postsecondary/adult programs, including the rationale for such allocation.

Funds received through the allotment made under Perkins are allocated among secondary level and postsecondary level CTE programs based on a review of successive annual reports of secondary and postsecondary/adult CTE students who were served by each Perkins grantee. These reports include in-school and adult CTE students served, and reports are routinely compared to projected CTE enrollments on both the secondary and postsecondary/adult levels. These trends show that approximately 52 percent of the CTE students in New York State are served in secondary level programs and 48 percent are served in postsecondary/adult CTE.

2. and 3. *Provide the specific dollar amounts made available to secondary and postsecondary local agencies.*

See secondary and postsecondary annual requests for non-competitive proposals, Attachments A and B.

4. *A description of how funds will be allocated among any consortia that will be formed among any secondary schools and eligible institutions and how funds will be allocated among the member of the consortia including the rationale for such allocation.*

The allocations among secondary eligible recipients and consortia are described in the annual request for non-competitive proposals that is found in Attachment A. All consortia that are allocated secondary funds have, as a condition for accepting the grant, a stipulation that authorized program funds may be used only for the mutual benefit of all consortium members. No funds shall be used for the benefit of an individual consortium member.

5. You must describe how your agency will allocate any of those funds among any consortia that will be formed among postsecondary institutions, and how funds will be allocated among the members of the consortia, including the rationale for such allocations [Section 122(c)(b)(B); sec. 202(c)].

The allocations among eligible recipients and consortia are described in the postsecondary annual request for non-competitive proposal. All consortia that are allocated funds under section 132 have, as a condition for accepting the grant, a stipulation that authorized program funds may be used only for the mutual benefit of all consortium members. No funds shall be used for the benefit of an individual consortium member. See Attachments B and C.

6. Adjustments needed to reflect changes in school district boundaries and student enrollment patterns.

There are no changes in school district boundaries, and there are no charter schools with secondary CTE programs, in 2007-2008.

7. Alternative formulae.

At the secondary level, allocations for eligible recipients are determined as described in Section 131(a) of the Act. There is no alternative formula.

An alternative to the postsecondary formula found in Perkins is used to meet the requirements of section 132. The SED has submitted this alternative to the United States Department of Education for approval. Under this alternative formula the SED adds to the list of other programs serving the economic disadvantaged. Specific factors used to identify economically disadvantaged students include eligibility for any of the following economic assistance programs:

- a. Pell Grant
- b. Tuition Assistance Program (TAP)
- c. Aid for Part-Time Study (APTS)
- d. Educational Opportunity Program (EOP); Higher Education Opportunity Program (HEOP); Search for Education, Elevation and Knowledge (SEEK); and College Discovery (CD)
- e. Bureau of Indian Affairs Higher Education Grant Program (BIA)
- f. TANF Funded Services and Assistance
- g. Workforce Investment Act
- h. Social Security Insurance
- i. Women, Infants, and Children (WIC)

- j. Other public assistance programs serving economically disadvantaged, such as: Food Stamps, Home Energy Assistance Payments (HEAP), Supplemental Security Income, Trade Readjustment Act, and Refugee and Immigration Affairs Assistance.

Or a factor used to identify economically disadvantaged students includes those who may be documented as low income:

- k. Other: An adult with a total family income below \$14,100 for single persons, \$19,600 per couple, or \$22,350 for a family of three, with an additional \$4,350 per dependent child.

It is the SED's belief that the above listed program factors provide a superior alternative for distributing postsecondary formula funds to serve economically disadvantaged students. Additionally, these program factors better serve the Congressional goal of linking Perkins funds with other workforce preparation programs to provide coordinated and comprehensive education, training and support services for persons confronted with multiple barriers to employment.

Based on the factors listed above, verifiable, unduplicated counts of career and technical education students will be reported to the SED by eligible postsecondary institutions, educational opportunity centers, local education agencies, and BOCES. The SED will apply these counts to the statewide total of postsecondary formula funds to determine specific annual grant awards for each eligible provider.

B. Other Department Requirements

- 4., 5. The Department will not utilize separate funding for the Reserve clause in the transition year.
- 6. The SED does not offer a waiver to the minimum allocation requirements.

C. Annual Budget Table

PERKINS IV BUDGET TABLE - PROGRAM YEAR 1 (For Federal Funds to Become Available Beginning on July 1, 2007)

I. TITLE I: CAREER AND TECHNICAL EDUCATION ASSISTANCE TO STATES		
A.	Total Title I Allocation to the State	\$59,600,631
B.	Amount of Title II Tech Prep Funds to Be Consolidated with Title I Funds	0
C.	Total Amount of Combined Title I and Title II Funds to be distributed under section 112 (<i>Line A + Line B</i>)	\$59,600,631
D.	Local Formula Distribution (<i>not less than 85%</i>) (<i>Line C x 93.1%</i>)	\$55,506,252
	1. Reserve (not more than 10% of Line D)	0
	a. Secondary Programs (0% of <i>Line D</i>)	0
	b. Postsecondary Programs (0% of <i>Line D</i>)	0
	2. Available for formula allocations (<i>Line D minus Line D.1</i>)	\$55,506,252
	a. Secondary Programs (52% of <i>Line D.2</i>)	\$28,863,251
	b. Postsecondary Programs (48% of <i>Line D.2</i>)	\$26,643,001
E.	State Leadership (not more than 10%) (<i>Line C x 5.3%</i>)	\$3,135,838
	1. Nontraditional Training and Employment	\$150,000
	2. Corrections or Institutions	\$596,006
F.	State Administration (not more than 5%) (<i>Line C x 1.6%</i>)	\$958,541
G.	State Match (<i>from non-federal funds</i>) ²	\$958,541

² The eligible agency must provide non-Federal funds for State administration of its Title I grant in an amount not less than the amount it provided in the preceding year.

PERKINS IV BUDGET TABLE - PROGRAM YEAR 1
(For Federal Funds to Become Available Beginning on July 1, 2007)

II. Title II: Tech Prep Programs		
A.	Total Title II Allocation to the State	\$5,246,770
B.	Amount of Title II Tech Prep Funds to Be Consolidated with Title I Funds	0
C.	Amount of Title II Funds to Be Made Available For Tech-Prep (Line A less Line B)	\$5,246,770
D.	Tech-Prep Funds Earmarked for Consortia 1. Percent for Consortia (Line D divided by Line C) [97.3%] 2. Number of Consortia <u>32</u> 3. Method of Distribution (<i>check one</i>): a. <u> </u> Formula b. <u> x </u> Competitive	\$5,101,430
E.	Tech-Prep Administration 1. Percent for Administration (Line E divided by Line C) [2.7%]	\$145,340

VII. Edgar Certifications And Other Assurances

The State Education Department will comply with the following EDGAR certifications and other assurances:

A. EDGAR Certifications

The following constitutes certification that:

- a. This plan is submitted by the State agency that is eligible to submit the plan. [34 CFR 76.104(a)(1)]
- b. The State agency has authority under State law to perform the functions of the State under the program. [34 CFR 76.104(a)(2)]
- c. The State legally may carry out each provision of the plan. [34 CFR 76.104(a)(3)]
- d. All provisions of the plan are consistent with state law. [34 CFR 76.104(a)(4)]
- e. A State officer, specified by title in the certification, has authority under State law to receive, hold, and disburse federal funds made available under the plan. [34 CFR 76.104(a)(5)]
- f. The State officer who submits the plan, specified by title in the certification, has authority to submit the plan. [34 CFR 76.104(a)(6)]
- g. The agency that submits the plan has adopted or otherwise formally approved the plan. [34 CFR 76.104(a)(7)]
- h. The plan is the basis for State operation and administration of the program. [34 CFR 76.104(a)(8)]

B. Other Assurances

1. A copy of the state plan was submitted into the state office responsible for the Intergovernmental Review Process. [Executive Order 12372]
2. Lobbying Certification [34 CFR 82, Appendix A] [[pdf form attached]]
3. Complete and signed Assurance for Non-Construction programs. [[attached 424]]
4. The State will comply with the requirements of the Act and the provision of the state plan, including the provision of a financial audit of other Federal or State programs. [Sec. 122(c)(2)]
5. None of the funds expended under the Act will be used to acquire equipment (including computer software) in any instance in which such acquisition results in direct financial benefit to any

organization representing the interests of the acquiring entity or the employees of the acquiring entity, or any affiliate of such an organization. [Sec. 122(c)(12)]

6. The State will waive the minimum allocation as required in section 131(c)(1) in any case in which the local educational agency is located in a rural, sparsely populated area or is a public charter school operating secondary school career and technical education programs and demonstrates that it is unable to enter into a consortium for purposes of providing services under the Act. [Section 131(c)(2)]
7. The State will provide from non-Federal sources the costs the eligible agency incurs for the administration of programs under this Act, an amount that is not less than the amount provided by the eligible agency from non-Federal sources for such costs for the preceding fiscal year. [Sec. 323(a)]
8. The State and eligible recipients that use funds under this Act for in-service and pre-service career and technical education professional development programs for career and technical education teachers, administrators, and other personnel shall, to the extent practicable, upon written request, permit the participation in such programs of career and technical education secondary school teachers, administrators, and other personnel in nonprofit private schools offering career and technical secondary education programs located in the geographical area served by such eligible agency or eligible recipient. [Sec. 317(a)]
9. You must provide a signed assurance that, except as prohibited by State or local law, an eligible recipient may, upon written request, use funds made available under this Act to provide for the meaningful participation, in career and technical education programs and activities receiving funds under this Act, of secondary school students attending nonprofit private schools who reside in the geographical area served by the eligible recipient. [Sec. 317(b)(1)]
10. Eligible recipients that receive an allotment under this Act will consult, upon written request, in a timely and meaningful manner with representatives of nonprofit private schools in the geographical area served by the eligible recipient regarding the meaningful participation, in career and technical education programs and activities receiving funding under this Act, of secondary school students attending nonprofit private schools. [Sec. 317(b)(2)]

PART B: BUDGET FORMS

Title I – Basic Grant

PERKINS IV BUDGET TABLE - PROGRAM YEAR 1 (For Federal Funds to Become Available Beginning on July 1, 2007)

I. TITLE I: CAREER AND TECHNICAL EDUCATION ASSISTANCE TO STATES		
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G.	State Match (<i>from non-federal funds</i>) ³	\$958,541

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PERKINS IV BUDGET TABLE - PROGRAM YEAR 1
(For Federal Funds to Become Available Beginning on July 1, 2007)

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E.	Tech-Prep Administration 1. Percent for Administration (Line E divided by Line C) [2.7%]	\$145,340

PART C: ACCOUNTABILITY FORMS

New York

INSTRUCTIONS

I. Definitions of Student Populations

On page 43, you must provide the career and technical education (CTE) student definitions that you will use for the secondary and postsecondary/adult core indicators of performance, e.g., “CTE participants” and “CTE concentrators.” These are the students on which you will report data annually to the Secretary under section 113(c)(1)-(2) of the Act.

II. Identification of Measurement Definitions/Approaches

In Columns 2 and 3 of the Final Agreed Upon Performance Levels (FAUPL) forms on pages 44-48, you must provide your valid and reliable measurement definitions and approaches, respectively, for each of the core indicators of performance required under section 113(b) of the Act. Each definition must contain a description of the numerator (the number of individuals achieving an outcome) and a denominator (the number of individuals seeking to achieve an outcome). As discussed above in Part A, Section IV, A.3, based on our non-regulatory guidance, we have pre-populated the FAUPL form with the measurement definitions and approaches for the core indicators to measure student attainment of challenging academic content standards and student academic achievement standards in reading/language arts and mathematics under the ESEA (1S1 and 1S2, respectively) and student graduation rates under the ESEA (4S1). A State may choose to propose other student definitions and measurement approaches, but it would have to describe in its new State plan how it’s proposed definitions and measures would be valid and reliable.

III. Baseline Data

In Column 4 of the FAUPL forms, you must provide baseline data, using data for the most recently completed program year (July 1, 2005 – June 30, 2006), on the performance of career and technical education students on each of the core indicators of performance, except that, for the indicators for which your State must use your State’s standards, assessments, and graduation rates adopted under Title I of the ESEA, if your State chooses to use its AMOs and targets under the ESEA, you will not need to submit baseline data. The Department will use your baseline data as a starting point for reaching agreement with you on the core indicators of performance for the first two program years under section 113(b)(3)(iii) of the Act, except that States that submit a one-year transition plan need to provide baseline data only for the core indicators of performance as provided below:

Indicators		Transition Plan	Six-Year Plan
Secondary Level – 8 Indicators			
1S1	Academic Attainment – Reading/Language Arts	X	X
1S2	Academic Attainment – Mathematics	X	X
2S1	Technical Skill Attainment	Not required	X
3S1	Secondary School Completion	Not required	X
4S1	Student Graduation Rates	X	X
5S1	Secondary Placement	Not required	X
6S1	Nontraditional Participation	Not required	X
6S2	Nontraditional Completion	Not required	X
Postsecondary/Adult Level – 6 Indicators			
1P1	Technical Skill Attainment	Not required	X
2P1	Credential, Certificate, or Diploma	Not required	X
3P1	Student Retention or Transfer	Not required	X
4P1	Student Placement	Not required	X
5P1	Nontraditional Participation	Not required	X
5P2	Nontraditional Completion	Not required	X

IV. Performance Levels

In Columns 5 and 6 of the FAUPL forms, you must provide proposed levels of performance for each of the core indicators of performance for the first two program years (July 1, 2007 – June 30, 2008 and July 1, 2008 – June 30, 2009) as required under section 113(b)(3)(ii) of the Perkins Act, except that, for the indicators for which the State must use its State's standards, assessments, and graduation rates adopted under Title I of the ESEA, a State that chooses to use its AMOs or targets under the ESEA will only have to confirm this information with its OVAE Regional Accountability Specialist. At a State's request, the Regional Accountability Specialist will pre-populate the forms in Part C with the State's AMOs or targets for the 2007-08 and 2008-09 program years before sending the forms to you to finish completing. States that submit a one-year transition plan need to provide performance levels only for the core indicators of performance listed in the chart above.

V. State Confirmation of Final Agreed Upon Performance Levels

After you reach agreement with the Department on your State's final agreed upon adjusted performance levels for the first two program years, you will be asked to confirm these levels via e-mail submission of your State's FAUPL form. Your State's final agreed upon performance levels for the first two program years for the ESEA indicators will be incorporated into your State plan and your July 1, 2007 Perkins grant award. Your State's final agreed upon performance levels for the first two program years for all other for all other indicators will be incorporated into your State plan and your July 1, 2008 Perkins grant award.

I. Student Definitions

A. Secondary Level

Participants – A student who has successfully completed, as determined by a school district or BOCES, a course or unit of study in a CTE program.

Concentrators – A student who has successfully completed, as determined by a school district or BOCES, two courses/units of study out of a three course/unit of study CTE program; **OR** a student who has successfully completed, as determined by a school district or BOCES, three courses/units of study out of a four or more course/unit of study CTE program.

B. Postsecondary/Adult Level

Participants –

A postsecondary/adult student who has earned one (1) or more credits in any CTE program area.

Concentrators –

A postsecondary/adult student who: (1) completes at least 12 academic or CTE credits within a single CTE program area sequence that is comprised of 12 or more academic and technical credits and terminates in the award of an industry-recognized credential, a certificate, or a degree.

II. FINAL AGREED UPON PERFORMANCE LEVELS FORM (FAUPL)
A. SECONDARY LEVEL

Column 1	Column 2	Column 3	Column 4	Column 5	Column 6
Indicator & Citation	Measurement Definition	Measure- ment Approach	Baseline (Indicate Year)	Year One 7/1/07- 6/30/08	Year Two 7/1/08- 6/30/09
1S1 Academic Attainment – Reading/ Language Arts 113(b)(2)(A) (i)	<p>Numerator: Number of CTE concentrators who have met the proficient or advanced level on the Statewide high school reading/language arts assessment administered by the State under Section 1111(b)(3) of the Elementary and Secondary Education Act (ESEA) as amended by the No Child Left Behind Act based on the scores that were included in the State's computation of adequate yearly progress (AYP) and who, in the reporting year, left secondary education.</p> <p>Denominator: Number of CTE concentrators who took the ESEA assessment in reading/language arts whose scores were included in the State's computation of AYP and who, in the reporting year, left secondary education.</p>	<p>State and Local Administrative Records</p>	<p>B:</p>	<p>L: 71%</p> <p>A:</p>	<p>L: 82%</p> <p>A:</p>
1S2 Academic Attainment - Mathematics 113(b)(2)(A)(i)	<p>Numerator: Number of CTE concentrators who have met the proficient or advanced level on the Statewide high school mathematics assessment administered by the State under Section 1111(b)(3) of the (ESEA) as amended by the No Child Left Behind Act based on the scores that were included in the State's computation of adequate yearly progress (AYP) and who, in the reporting year, left secondary education.</p> <p>Denominator: Number of CTE concentrators who took the ESEA assessment in mathematics whose scores were included in the State's computation of AYP and who, in the reporting year, have left secondary education.</p>	<p>State and Local Administrative Records</p>	<p>B:</p>	<p>L: 72%</p> <p>A:</p>	<p>L: 79%</p> <p>A:</p>

Column 1	Column 2	Column 3	Column 4	Column 5	Column 6
Indicator & Citation	Measurement Definition	Measurement Approach	Baseline (Indicate Year)	Year One 7/1/07-6/30/08	Year Two 7/1/08-6/30/09
2S1 Technical Skill Attainment 113(b)(2)(A)(ii)	<p>Numerator: Number of CTE concentrators who passed technical skill assessments that are aligned with industry-recognized standards, if available and appropriate, during the reporting year.</p> <p>Denominator: Number of CTE concentrators who took the assessments during the reporting year.</p>		B:	<p>L:</p> <p>A:</p>	<p>L:</p> <p>A:</p>
3S1 Secondary School Completion 113(b)(2)(A)(ii) i)(I-III)	<p>Numerator: Number of CTE concentrators who earned a regular secondary school diploma, earned a General Education Development (GED) credential as a State-recognized equivalent to a regular high school diploma (if offered by the State) or other State-recognized equivalent (including recognized alternative standards for individuals with disabilities), or earned a proficiency credential, certificate, or degree, in conjunction with a secondary school diploma (if offered by the State) during the reporting year.</p> <p>Denominator: Number of CTE concentrators who left secondary education during the reporting year.</p>	State and Local Administrative Records	B:	<p>L:</p> <p>A:</p>	<p>L:</p> <p>A:</p>

4S1 Student Graduation Rates 113(b)(2)(A) (iv)	<p>Numerator: Number of CTE concentrators who, in the reporting year, were included as graduated in the State's computation of its graduation rate as described in Section 1111(b)(2)(C)(vi) of the ESEA.</p> <p>Denominator: Number of CTE concentrators who, in the reporting year, were included in the State's computation of its graduation rate as defined in the State's Consolidated Accountability Plan pursuant to Section 1111(b)(2)(C)(vi) of the ESEA.</p>	State and Local Administrative Records	B:	L: Will be pre-populated at the request of the State A:	L: Will be pre-populated at the request of the State A:
5S1 Secondary Placement 113(b)(2)(A) (v)	<p>Numerator: Number of CTE concentrators who left secondary education and were placed in postsecondary education or advanced training, in the military service, or employment in the second quarter following the program year in which they left secondary education (i.e., unduplicated placement status for CTE concentrators who graduated by June 30, 2007 would be assessed between October 1, 2007 and December 31, 2007).</p> <p>Denominator: Number of CTE concentrators who left secondary education during the reporting year.</p>		B:	L: A:	L: A:

Column 1	Column 2	Column 3	Column 4	Column 5	Column 6
Indicator & Citation	Measurement Definition	Measure ment Approac h	Baseline (Indicate Year)	Year One 7/1/07- 6/30/08	Year Two 7/1/08- 6/30/09
6S1 Non- traditional Participation 113(b)(2)(A) (vi)	<p>Numerator: Number of <u>CTE participants</u> from underrepresented gender groups who participated in a program that leads to employment in nontraditional fields during the reporting year.</p> <p>Denominator: Number of <u>CTE participants</u> who participated in a program that leads to employment in nontraditional fields during the reporting year.</p>		B:	L: A:	L: A:
6S2 Non- traditional Completion 113(b)(2)(A) (vi)	<p>Numerator: Number of <u>CTE concentrators</u> from underrepresented gender groups who completed a program that leads to employment in nontraditional fields during the reporting year.</p> <p>Denominator: Number of <u>CTE concentrators</u> who completed a program that leads to employment in nontraditional fields during the reporting year.</p>		B:	L: A:	L: A:

III. FINAL AGREED UPON PERFORMANCE LEVELS FORM (FAUPL)

B. POSTSECONDARY/ADULT LEVEL

Column 1	Column 2	Column 3	Column 4	Column 5	Column 6
Indicator & Citation	Measurement Definition	Measurement Approach	Baseline (Indicate Year)	Year One 7/1/07-6/30/08	Year Two 7/1/08-6/30/09
1P1 Technical Skill Attainment 113(b)(2)(B)(i)	<p>Numerator: Number of CTE concentrators who passed technical skill assessments that are aligned with industry-recognized standards, if available and appropriate, during the reporting year.</p> <p>Denominator: Number of CTE concentrators who took technical skill assessments during the reporting year.</p>	State and Local Administrative Records	B:	L: A:	L: A:
2P1 Credential, Certificate, or Degree 113(b)(2)(B)(ii)	<p>Numerator: Number of CTE concentrators who received an industry-recognized credential, a certificate, or a degree during the reporting year.</p> <p>Denominator: Number of CTE concentrators who left postsecondary education during the reporting year.</p>	State and Local Administrative Records	B:	L: A:	L: A:

3P1 Student Retention or Transfer 113(b)(2)(B) (iii)	<p>Numerator: Number of <u>CTE concentrators</u> who remained enrolled in their original postsecondary institution or transferred to another 2- or 4-year postsecondary institution during the reporting year and who were enrolled in postsecondary education in the fall of the previous reporting year.</p> <p>Denominator: Number of <u>CTE concentrators</u> who were enrolled in postsecondary education in the fall of the previous reporting year and who did not earn an industry-recognized credential, a certificate, or a degree in the previous reporting year.</p>	State and Local Administrative Records	B:	L: A:	L: A:
4P1 Student Placement 113(b)(2)(B) (iv)	<p>Numerator: Number of <u>CTE concentrators</u> who were placed or retained in employment, or placed in military service or apprenticeship programs in the 2nd quarter following the program year in which they left postsecondary education (i.e., unduplicated placement status for CTE concentrators who graduated by June 30, 2007 would be assessed between October 1, 2007 and December 31, 2007).</p> <p>Denominator: Number of <u>CTE concentrators</u> who left postsecondary education during the reporting year.</p>	Locally Administered Follow-up Surveys	B:	L: A:	L: A:

Column 1	Column 2	Column 3	Column 4	Column 5	Column 6
Indicator & Citation	Measurement Definition	Measure-ment Approach	Baseline (Indicate Year)	Year One 7/1/07-6/30/08	Year Two 7/1/08-6/30/09
5P1 Non-traditional Participation 113(b)(2)(B) (v)	<p>Numerator: Number of <u>CTE participants</u> from underrepresented gender groups who participated in a program that leads to employment in nontraditional fields during the reporting year.</p> <p>Denominator: Number of <u>CTE participants</u> who participated in a program that leads to employment in nontraditional fields during the reporting year.</p>	State and Local Administrative Records	B:	L: A:	L: A:
5P2 Non-traditional Completion 113(b)(2)(B) (v)	<p>Numerator: Number of <u>CTE concentrators</u> from underrepresented gender groups who completed a program that leads to employment in nontraditional fields during the reporting year.</p> <p>Denominator: Number of <u>CTE concentrators</u> who completed a program that leads to employment in nontraditional fields during the reporting year.</p>	State and Local Administrative Records	B:	L: A:	L: A:

Attachments

- A. *Request for Non-Competitive Proposals - Secondary Agencies; Basic Grant*
- B. *Request for Non-Competitive Proposals - Postsecondary Agencies; Basic Grant*
- C. *Postsecondary Allocations*
- D. *Tech Prep RFP*
- E. *Crosswalk of Nontraditional Programs and Occupations*
- F. *Conditions and Requirements - Secondary Agencies*
- G. *Conditions and Requirements - Postsecondary Agencies*
- H. *Performance Standards Report form*

ATTACHMENT A

2007-08

**CARL D. PERKINS
CAREER AND
TECHNICAL
EDUCATION
IMPROVEMENT ACT OF
2006
BASIC GRANT**

**Secondary and Adult
Career-Technical Education
Programs at
Secondary Agencies**

**THE
UNIVERSITY
OF THE
STATE
OF
NEW YORK**

**THE STATE
EDUCATION
DEPARTMENT**

Office of Curriculum and
Instructional Support



Request for Non-Competitive Proposals

Due: Postmarked by June 15, 2007

PROGRAM DESCRIPTION

The Carl D. Perkins Career and Technical Education Improvement Act of 2006 (Perkins) provides basic grants to improve the quality of career and technical education (CTE). Prescribed formulas related to population characteristics are used to allocate funds. Funds received by a recipient must be used to improve CTE programs. Perkins envisions that all students will achieve challenging academic and technical standards and be prepared for high skill, high wage, high demand occupations in current or emerging occupations. Perkins provides an increased focus on the academic achievement of CTE students, strengthens the connections between business, industry and secondary/postsecondary education, and strives to train students to meet the actual needs of their communities to better compete in a global economy.

Secondary CTE Programs

Applications for Perkins funds must describe how grant monies will provide support to:

- Promote the development of programs, activities, and services that integrate rigorous and challenging academic and career and technical instruction, and that link secondary education and postsecondary education for participating career and technical education students; and
- Develop challenging academic and technical standards and to assist students in meeting such standards, including preparation for high skill, high wage, high demand occupations in current or emerging occupations.

Descriptions of how the use of these funds will help the applicant's CTE program to attain the standards represented by the performance indicators found in Perkins should be included. Emphasis should be placed on efforts that implement the *Learning Standards for Career Development and Occupational Studies (CDOS)*. These standards enable students to relate personal skills, aptitudes and abilities to future career decisions; demonstrate how academic knowledge and skills are applied in the workplace and other settings; demonstrate mastery of the foundation skills and competencies essential for success in the workplace; and for students that have chosen a career major, acquire the career-specific technical knowledge/skills necessary to progress toward success in postsecondary programs, gainful employment, and career advancement.

Agencies are strongly encouraged to plan these efforts jointly with their Local Workforce Investment Board (LWIB) and Youth Council with emphasis on linking Perkins services with Workforce Investment Act (WIA) funds allocated to the LWIB.

Adult CTE Programs

The special emphasis of Perkins adult programs is preparation for employment in high skill, high wage, high demand occupations in current or emerging professions. Funding may be used to provide assistance to adult students who are changing careers or updating skills. The program descriptions submitted as part of the local application should depict how funds will be used to support these efforts and show how services are coordinated with their LWIBs to avoid duplication and to expand the range and accessibility of services.

A description of how the local agency will provide a program that integrates academic education and CTE through a coherent sequence of courses should be included. The State Education

Department (SED) encourages articulation of adult programs with related secondary and/or postsecondary curricula.

Other adult programs, such as basic skills, bilingual or English Language Learners (ELL) programs, life management and the General Educational Development (GED) program can be funded only if they are offered through curricula integrated with CTE programs. Local job developers and placement coordinators working for other clients and supported by other funding sources, including WIA, should be identified and, if possible, used to provide the same services for Perkins clients.

Each recipient of Perkins adult formula funds is a mandatory One-Stop partner under the WIA and must fulfill the responsibilities set out in Title I of the WIA. Those responsibilities include:

- Representation on the LWIB: As mandatory One-Stop partners, recipients of these funds are entitled to membership on the LWIB. However, to keep LWIB membership manageable, recipients of these funds may have selected a representative to serve on behalf of all such recipients in the Local Workforce Investment Area (LWIA). Each LWIB has designated at least one Perkins adult formula fund recipient to serve on the Board, representing the interests of all Perkins recipients. A list of LWIBs, including the LWIB contact person and the designated Perkins member(s) can be found at the following web site: <http://www.workforcenewyork.org/localboards.htm>. Perkins recipients who are not members of a LWIB may wish to collaborate with the designated Perkins Board member to determine resources that each Perkins recipient can provide in support of the One-Stop delivery system. These resources are the basis for core services and administrative support that will be negotiated in the Memorandum of Understanding (MOU);
- Entering into an MOU with the LWIB relating to the operation of the One-Stop system: This MOU is to include a description of services, how the cost of the identified services and administrative costs of the system are to be funded, and methods of referral. This MOU must indicate how both core services costs and administrative costs of the local One-Stop delivery system will be supported. This MOU must describe specific use of Perkins adult formula funds for the local One-Stop delivery system, and
- Making available applicable core services through the One-Stop system, either in lieu of or in addition to making these services available at the program site: Core services that are applicable to Perkins adult formula fund recipients' programs must be accessible through the local One-Stop delivery system. The purpose of this requirement is to ensure that core services are provided by One-Stop partners in a coordinated, non-duplicative manner. Perkins adult formula fund recipients are not required to provide any new or additional services that they would not have otherwise offered using Perkins funds. Core services are defined as:
 - the provision of information concerning the performance and cost of CTE programs;
 - the initial assessment of skill levels, aptitudes, abilities and supportive service needs of individuals prior to their entry into a CTE program; and
 - the provision of information to individuals prior to their enrollment in a CTE program relating to the availability of supportive services, including child care and transportation, and referral to such services.

Each recipient of Perkins adult formula funds must use a portion of those funds to support their local One-Stop system. Options for describing how this support is funded within the Perkins application include:

- Developing a separate Major Effort to describe the use of Perkins funds for each core service (i.e., intake, assessment and supportive services) and for administrative costs; or
- Reflecting the use of Perkins funds for both core services and administrative costs in multiple Major Efforts. Items entered in multiple Major Efforts must be clearly labeled as related to support of the One-Stop delivery system.

Each recipient of Perkins adult formula funds is to negotiate their decision-making regarding the contribution of Perkins funds to the support of the One-Stop delivery system with the LWIB as part of the MOU. Factors that must be taken into account during negotiations include:

- Proportionality: The contribution must be proportionate to the use of the One-Stop delivery system by individuals attributable to the partner's program who seek assistance at the center.¹ The method of attributing individuals to the Perkins program is negotiated as part of the MOU. Other related considerations, such as how the system is used by attributable individuals, including the level of intensity of services that are provided to them, might also be considered in applying this principle of proportionality.
- Limitations on administrative costs under Perkins: Contributions to the administrative costs of the One-Stop delivery system, such as the rental of space occupied by an employee performing administrative functions, are considered to be administrative costs under Perkins. All Perkins funds used to support One-Stop delivery system administrative costs are considered part of the administrative cap under Perkins and therefore can only come from those funds allowed for the administration of the Perkins grant. Recipients of Perkins adult formula funds should keep in mind that they have administrative responsibilities, including the implementation of performance accountability systems necessary to fulfill the Perkins accountability requirements. Agencies should retain sufficient funds to enable them to fulfill these responsibilities.
- Allowable costs: Recipients of Perkins adult formula funds may only contribute towards costs that are allowable under Perkins.
- Supplanting: The Perkins prohibition against supplanting applies to the WIA.

Recipients of Perkins adult formula funds and the LWIB may determine the amount and manner of the contribution within these parameters.

Each recipient of Perkins adult formula funds must submit a copy of the MOU they negotiated with their LWIB as part of their Perkins funding application.

¹ See 20 CFR Ch. V (4-1-03 Edition) §662.250; www.doleta.gov/regs/statutes/finalrule.htm, pp. 32-34

ELIGIBLE AGENCIES

Only local school districts and Boards of Cooperative Educational Services (BOCES) may be eligible. To be eligible, such agencies must develop and submit a Career and Technical Education Program Plan (CTEPP), have a CTE program that is of sufficient size, scope and quality to be successful, and must have generated an allocation under the Perkins mandated secondary formula of at least \$15,000 and/or under the adult formula of at least \$50,000. (See *Agency Awards*, pp. 21-37)

Perkins secondary funds are distributed by a statutory formula that is based upon the number of individuals ages five to seventeen in a school district with heavy weighting to those individuals who are below the poverty line (source is 2004 Census data). However, in order to access these funds the following criteria must be met:

(1) Submission and approval of a CTEPP. Commissioner's Regulations and federal and State legislation require local education agencies to participate in a planning process for CTE. This planning process covers all CTE programs and services for both youth and adults, not only those activities supported with federal Perkins funds. This planning process will result in a CTEPP that serves as the main policy instrument for CTE throughout the local service area. The State Education Department (SED) has written a State Transition Plan for the 2007-2008 academic year, and will develop a five year plan for the 2008-09 through 2012-13 academic years. A local plan shall cover the same period of time as the period of time applicable to the State plan.

(2) The allocation must be above \$15,000. Schools with an allocation of less than \$15,000, or other agencies not wishing to access their funds directly, may participate in a consortium application by assigning their funds to the consortium. A consortium application may come from any group of schools, but they must aggregate an allocation not less than \$15,000 and meet the size, scope and quality requirements below. One grantee must be named as the lead agent for the consortium and be responsible for the local service area planning, program evaluations, local advisory council and fiscal duties of the entire consortium. Those schools with an allocation above \$15,000 may apply for these funds if they have a CTE program that is of sufficient size, scope and quality.

(3) Have a CTE program that is of sufficient size, scope and quality (SSQ) to be successful. The SED determines size and scope by examining enrollments and program offerings through data provided via the Career and Technical Education Data System (CTEDS) and Basic Education Data System (BEDS). Quality is determined through the application review process.

Size and scope for 2007-2008 Perkins grants is demonstrated when the local agency offers programs in at least three of the sixteen career clusters and meets *one* of the following:

- Has special populations that represent at least 63.22% of the reported CTE students at the agency, or,
- Has special populations that represent at least 44.17% of the reported CTE students at the agency AND has a total secondary CTE enrollment that is at least 23.70% of the overall student 9-12 population.

Source: CTEDS and BEDS data from the 2005-2006 school year.

Size and scope for the 2007-08 school year have been determined for each agency based upon reported 2005-2006 school year data regarding an agency's CTE program at that time, (see *Agency Awards*, pp. 21-37). An agency has met size and scope if a "Yes" appears in the *Met Size and Scope* column. A "No" entry indicates that size and scope were not met. If an agency has not met size and scope but wishes to apply for funds, a detailed explanation must be provided to describe how funds will be directed to implement strategies during the 2007-2008 school year to enable its CTE program to meet the size and scope criteria.

(4) Offer at least one program of study or submit an application showing that a program of study will be created by June 30, 2008 and implemented at the start of the 2008-09 school year. An additional two, for a total of three, programs of study must be created by June 30, 2009, with three programs of study implemented at the start of the 2009-10 school year.

(5) Indicate in the application that the recipient will work to implement career clusters/career pathways initiatives. Technical assistance will be available on a regional basis from a contractor to be determined by a competitive application process.

(6) Have allocated local resources to supplement the Perkins funds in such a way as to result in high-level academic and technical skills; and

(7) Must use the Perkins performance indicators and state-negotiated performance standards to evaluate the agency's CTE programs and show continuous improvement in subsequent funding years.

REQUIRED/ PERMISSIVE USE OF FUNDS

Each eligible recipient that receives Perkins funds shall use such funds to improve career and technical education programs.

Activities:

Perkins lists both mandated and permissive uses of funds to be carried out by recipients of Perkins funds. In all, there are nine mandated uses of funds and numerous allowable activities. Guidance provided by the U.S. Department of Education (ED) indicates that each local recipient is not responsible for expending Perkins funds on all nine mandated activities. However, the SED is responsible for ensuring that Perkins funds have been expended statewide to carry out each of the nine mandated activities. Recipients of Perkins funds must primarily use those funds to carry out any or all of the nine mandated activities. As the agency responsible for both administering Perkins funds and implementing the Regents standards, the SED will employ the following rules:

- At least 60 percent of Perkins funds received must be expended to carry out one or more of the nine mandated uses of funds listed below. This means that no more than 40 percent can be used for one or more of the permissive uses of funds listed below.
- *NOTE: All recipients of Perkins funds must address mandated activity six. This can be done with Perkins or other funds (i.e., State or local) but must be fully detailed in the local agency's Career and Technical Education Program Plan (CTEPP).*

- Suggested activities for mandated activity six: Perkins includes the need to be accountable for several aspects of the performance of students participating in CTE programs including the disaggregation of data regarding the performance of special populations in CTE programs. Funds may be used to determine how academic performance, technical skill attainment, program completion, graduation and follow-up information will be gathered and aggregated for reporting purposes. Perkins funds may be used to set up data systems including the purchase or development of software that make it possible to identify the performance of CTE students.

Required Uses of Funds: Funds made available to eligible recipients shall be used to support career and technical education programs that:

1. strengthen the academic and career and technical skills of students participating in CTE programs by strengthening the academic and career and technical education components of such programs through the integration of academics with CTE programs through a coherent sequence of courses to ensure learning in the core academic subjects and career and technical education subjects;
2. link career and technical education at the secondary level and career and technical education at the postsecondary level, including by offering the relevant elements of not less than one career and technical program of study;
3. provide students with strong experience in and understanding of all aspects of an industry, which may include work-based learning experiences;
4. develop, improve or expand the use of technology in career and technical education, which may include:
 - A. training of career and technical education teachers, faculty, and administrators to use technology, which may include distance learning;
 - B. providing career and technical education students with the academic and career and technical skills, including the mathematics and science knowledge that provides a strong basis for such skills, that lead to entry into the technology fields; or
 - C. encouraging schools to collaborate with technology industries to offer voluntary internships and mentoring programs, including programs that improve the mathematics and science knowledge of students;
5. provide professional development programs to teachers, faculty, administrators and career guidance and academic counselors who are involved in integrated career and technical education programs, including:
 - A. in-service and pre-service training on:
 - i. effective integration and use of challenging academic and career and technical education provided jointly with academic teachers to the extent practicable;
 - ii. effective teaching skills based on research that includes promising practices;
 - iii. effective practices to improve parental and community involvement; and
 - iv. effective use of scientifically-based research and data to improve instruction;
 - B. support of education programs for teachers of career and technical education in public schools and other public school personnel who are involved in the direct delivery of educational services to career and technical education students, to ensure that such teachers and personnel stay current with all aspects of an industry;

- C. internship programs that provide relevant business experience; and
 - D. programs designed to train teachers specifically in the effective use and application of technology to improve instruction;
6. develop and implement evaluations of the career and technical education programs carried out with funds under this title, including an assessment of how the needs of special populations are being met;
 7. initiate, improve, expand and modernize quality career and technical education programs, including relevant technology;
 8. provide services and activities that are of sufficient size, scope and quality to be effective, and
 9. provide activities to prepare special populations, including single parents and displaced homemakers who are enrolled in career and technical education programs, for high skill, high wage, high demand occupations that will lead to self-sufficiency.

Permissive Uses of Funds: Funds may be used:

1. to involve parents, businesses and labor organizations as appropriate, in the design, implementation and evaluation of career and technical education programs authorized under this title, including establishing effective programs and procedures to enable informed and effective participation in such programs;
2. to provide career guidance and academic counseling for students participating in CTE programs that:
 - A. improves graduation rates and provides information on postsecondary and career options, including baccalaureate degree programs, for secondary students, which activities may include the use of graduation and career plans, and
 - B. provides assistance for postsecondary students, including adult students who are changing careers or updating skills;
3. for local education and business (including small business) partnerships, including for:
 - A. work-related experiences for students, such as internships, cooperative education, school-based enterprises, entrepreneurship, and job shadowing that are related to career and technical education programs;
 - B. adjunct faculty arrangements for qualified industry professionals; and
 - C. industry experience for teachers and faculty;
4. to provide programs for special populations;
5. to assisting career and technical education student organizations;
6. for mentoring and support services;
7. for leasing, purchasing, upgrading or adapting equipment, including instructional aids and publications (including support for library resources) designed to strengthen and support academic and technical skill achievement;

8. for teacher preparation programs that address the integration of academic and career and technical education and that assist individuals who are interested in becoming career and technical education teachers and faculty, including individuals with experience in business and industry;
9. to develop and expand postsecondary program offerings at times and in formats that are accessible for students, including working students, including through the use of distance education;
10. to develop initiatives that facilitate the transition of sub-baccalaureate career and technical education students into baccalaureate degree programs, including:
 - A. articulation agreements between sub-baccalaureate degree granting career and technical education postsecondary educational institutions and baccalaureate degree granting postsecondary educational institutions;
 - B. postsecondary dual- and concurrent-enrollment programs;
 - C. academic and financial aid counseling for sub-baccalaureate career and technical education students that informs the students of the opportunities for pursuing a baccalaureate degree and advises the students on how to meet any transfer requirements; and
 - D. other initiatives:
 - i. to encourage the pursuit of a baccalaureate degree; and
 - ii. to overcome barriers to enrollment in and completion of baccalaureate degree programs, including geographic and other barriers affecting rural students and special populations;
11. to provide activities to support entrepreneurship education and training;
12. or improving or developing new career and technical education courses, including the development of new proposed career and technical programs of study for consideration by the eligible agency and courses that prepare individuals academically and technically for high skill, high wage, high demand occupations and dual or concurrent enrollment opportunities by which career and technical education students at the secondary level could obtain postsecondary credit to count towards an associate or baccalaureate degree;
13. to develop and support small, personalized career-themed learning communities;
14. to provide support for family and consumer sciences programs;
15. to provide career and technical education programs for adults and school dropouts to complete the secondary school education, or upgrade the technical skills, of the adults and/or school dropouts;
16. to provide assistance to individuals who have participated in services and activities under Perkins in continuing their education or training or finding an appropriate job;
17. to support training and activities, such as mentoring and outreach, in non-traditional fields;
18. to provide support for training programs in automotive technologies;

19. to pool a portion of recipient funds with a portion of funds available to not less than one other eligible recipient for innovative initiatives, which may include:
 - A. improving the initial preparation and professional development of career and technical education teachers, faculty, administrators, and counselors;
 - B. establishing, enhancing or supporting systems for:
 - i. accountability data collection under Perkins, or
 - ii. reporting data under Perkins;
 - C. implementing career and technical programs of study;
 - D. implementing technical assessments, and
20. to support other career and technical education activities that are consistent with the purpose of Perkins.

Allowable Programs and Services:

1. access to computer labs where students can practice the skills necessary for employment;
2. accommodation and support services for CTE students with disabilities;
3. assessment, advisement, guidance, job development, and placement services for members of special populations;
4. contextualized learning, supplemental instruction, and collaborative learning and study groups to augment classroom instruction and increase the probability of continued success for at-risk students;
5. counseling and intervention strategies and support services to provide greater assistance to economically disadvantaged students;
6. educational resource centers for the remediation and development of the basic skills needed for success, when incorporated into a student's CTE program;
7. emphasis on those curricula preparing students for high skill, high wage, high demand occupations in current or emerging professions;
8. expanded cooperative education programs, internships, and other work-experience arrangements;
9. institutional collaboration with organized labor and business and industrial organizations;
10. instruction in English for speakers of other languages and bilingual instruction for limited-English-proficient youth and adults when incorporated into a student's CTE program;
11. intensified curriculum and staff development activities to upgrade CTE programs and enhance instructional techniques in such programs;
12. training in nontraditional, high wage, high skill, high demand occupations for single parents, displaced homemakers, and others;
13. training programs integrating career and technical and academic instruction for unemployed and underemployed adults; and

14. up-to-date equipment to support high-tech programs in such areas as computer graphics, allied health, computer information systems, engineering technologies, telecommunications, and word processing and office skills.

Allowable expenditures:

The general guide is that the expenditure must contribute to student achievement in CTE programs. Major Effort descriptions must delineate how the activities and expenditures will improve CTE student achievement. Allowable expenditures include the following:

1. child care transportation and tuition subsidies for children of students matriculated in CTE programs;
2. computer software;
3. equipment (including computers) acquisition, installation, repair, and maintenance: Equipment items (Code 20 on the Budget Form, FS-10) are those items with a unit value of \$5,000 or more and having a useful life of more than one year. By State Education policy, equipment expenditures are limited to no more than 25% of the total budget.
4. instructional supplies and materials;
5. supplemental staff, including instructors, technicians, aides, tutors, signers, note takers, and interpreters for special population students;
6. other supplemental services to improve access to CTE programs and services, including curriculum modification, equipment modification, classroom modification, and instructional aids and devices;
7. testing materials;
8. travel in the United States that is specifically related to the project's major efforts; and
9. a maximum of five percent of the funds for administrative costs.

Examples of Non-Allowable Expenditures:

Expenditures that are not allowable include but are not limited to:

1. acquisition of equipment for administrative or personal use;
2. acquisition of furniture (e.g., bookcases, chairs, desks, file cabinets, tables) unless it is an integral part of an equipment workstation or to provide reasonable accommodations to CTE students with disabilities;
3. food services/ refreshments/ banquets/ meals;
4. remodeling not directly connected to accessibility to CTE instruction or services or to the use of project-purchased equipment;

5. payment for memberships in professional organizations;
6. prevocational educational activities;
7. purchase of promotional favors, such as bumper stickers, pencils, pens, or T-shirts;
8. subscriptions to journals or magazines;
9. travel outside the United States;
10. travel costs and expenses to attend student leadership conferences or meetings to conduct vocational student organization (VSO) national and State association business and/or competitions; and
11. expenditures for students not enrolled in CTE programs, including career exploration.

SINI/SURR

All individual (i.e., not consortium) eligible agencies with Schools In Need of Improvement (SINI) or Schools Under Registration Review (SURR) are required to expend at least 15 percent of their secondary allocation for the provision of activities which address the needs of CTE students in those schools. This requirement is to increase the share of the recipient's Perkins allocation that is used in SINI/SURR buildings. A separate major effort describing the use of these funds in the SINI/SURR buildings must be provided.

One-Stop Center

Each recipient of Perkins adult formula funds must submit one copy of the negotiated, current MOU.

ADMINISTRATIVE COST POLICY

Each eligible agency or institution receiving funds shall use no more than 5 percent of such funds for administrative costs. Administrative costs are subject to the following definitions and restrictions:

- Indirect cost is considered part of administrative cost and is included in the five-percent maximum. Agencies having an approved indirect cost rate greater than five percent are limited to five percent for this program including any direct charges that are determined to be administrative costs.
- All staff positions and activities not directly related to a specific major effort will be considered as administrative costs.
- Cash contributions to the One-Stop system to support the operations or administration of the One-Stop system are considered part of administrative cost and are included in the five-percent maximum.
- Certain direct costs, including staff salaries and activities related to the successful operation of a project, are not considered as administrative costs. For example, the cost

of modifying curricula to serve students in a particular project is not considered an administrative cost.

LOCAL PLAN

Local Plan Required: The SED has written a State Transition Plan for the 2007-2008 academic year and will develop a five-year plan for the 2008-09 through 2012-13 academic years. A local plan shall cover the same period of time as the period of time applicable to the State plan. Any eligible recipient desiring Perkins financial assistance must submit a local transition plan (Career & Technical Education Program Plan [CTEPP]) to the SED for the 2007-2008 academic year and it must accompany the application for Perkins' funds. CTEPP Guidelines can be found at: www.emsc.nysed.gov/cte/perkins4 . Submittal of the CTEPP and application for funds must be accompanied by a letter of transmittal from the Chief School Officer on agency letterhead.

Contents: Each local plan must contain the following:

1. describe how the CTE programs will be carried out using Perkins funds;
2. describe how the CTE activities will be carried out with respect to meeting State and local adjusted levels of performance;
3. describe how the eligible recipient will:
 - a. offer the appropriate courses of at least one career and technical education program of study;
 - b. improve the academic and technical skills of students participating in CTE programs by strengthening the academic and CTE components of such programs through the integration of coherent and rigorous content aligned with challenging academic standards and relevant CTE programs to ensure learning in:
 - i. the core academic subjects;
 - ii. career and technical education subjects;
 - c. provide students with strong experience in, and an understanding of, all aspects of an industry;
 - d. ensure that students who participate in CTE programs are taught to the same coherent and rigorous content aligned with challenging academic standards as are taught to all other students, and
 - e. encourage CTE students at the secondary level to enroll in rigorous and challenging courses in core academic subjects;
4. describe how comprehensive professional development (including initial teacher preparation) for career and technical education, academic, guidance, and administrative personnel will be provided that promotes the integration of coherent and rigorous content aligned with challenging academic standards and relevant career and technical education (including curriculum development);
5. describe how parents, students, academic and CTE teachers, faculty, administrators, career guidance and academic counselors, representatives of tech prep consortia (if applicable), representatives of business (including small business) and industry, labor organizations, representatives of special populations, and other interested individuals are

involved in the development, implementation, and evaluation of CTE programs assisted under Perkins, and how such individuals and entities are effectively informed about, and assisted in understanding, the requirements of Perkins, including CTE programs of study;

6. provide assurances that the eligible recipient will provide a CTE program that is of such size, scope and quality to bring about improvement in the quality of CTE programs;
7. describe the process that will be used to evaluate and continuously improve the performance of the eligible recipient;
8. describe how the eligible recipient will:
 - a. review CTE programs, identify and adopt strategies to overcome barriers that result in lowering rates of access to or lowering success in the programs for special populations;
 - b. provide programs that are designed to enable the special populations to meet the local adjusted levels of performance; and
 - c. provide activities to prepare special populations, including single parents and displaced homemakers, for high skill, high wage, high demand occupations that will lead to self-sufficiency;
9. describe how individuals who are members of special populations will not be discriminated against on the basis of their status as members of the special populations;
10. describe how funds will be used to promote preparation for non-traditional fields;
11. describe how career guidance and academic counseling will be provided to CTE students, including linkages to future education and training opportunities; and
12. describe efforts to improve:
 - a. the recruitment and retention of CTE teachers, faculty, and career guidance and academic counselors, including individuals in groups underrepresented in the teaching professions; and
 - b. the transition to teaching from business and industry.

Program of Study: A recipient of Perkins funds must offer at least one program of study or submit an application showing that a program of study will be created by June 30, 2008 and implemented at the start of the 2008-09 school year. An additional two, for a total of three, programs of study must be created by June 30, 2009, with three programs of study implemented at the start of the 2009-10 school year.

A program of study includes the following elements:

1. incorporates secondary education and postsecondary education elements by including coherent and rigorous content aligned with challenging academic standards and relevant career and technical content in a coordinated, non-duplicative progression of courses that align secondary education with postsecondary education to adequately prepare students to succeed in postsecondary education and/or employment in high skill, high wage, high demand jobs in current or emerging occupations;
2. a technical assessment based upon recognized industry and national standards;

3. an articulation agreement that provides the opportunity for secondary education students to participate in dual or concurrent enrollment programs or other ways to acquire postsecondary education credits; and
4. may lead to an industry-recognized credential or certificate or an associate or baccalaureate degree.

CTE programs approved through the *Board of Regents Policy on Career and Technical Education (February 2001) Program Approval Process* meet program of study requirements. For information on the Board of Regents Policy, see <http://www.emsc.nysed.gov/cte/ctepolicy/>. Programs of study may be developed through the use of materials from the Career Clusters/Career Pathways Initiative. A career pathway should be consistent with:

- secondary CTE programs approved through the Program Approval Process;
- a program/pathway developed by a local Tech Prep Consortium; and
- careers that are emerging or projected to grow in the recipient's labor market area.

Submittal of the **CTE Program Plan (CTEPP)** and the application package for Perkins' funds must be accompanied by a letter of transmittal from the Chief School Officer on agency letterhead.

Local Performance and Accountability: Local accountability is based on each recipient reporting valid, reliable and accurate data on student performance and outcomes for each of the Perkins performance indicators.

Recipients of Perkins funds must use each of the Perkins performance indicators and standards to evaluate their career and technical education programs. Local recipient performance data is submitted to the SED for analysis, and is then returned to the local recipient to evaluate its CTE programs. If any of the performance results fall below State standards, the recipient must submit a Program Improvement Plan (PIP) with its application for funds. The Plan, developed by the local recipient, must detail the program improvement strategies to be implemented to ensure further progress towards reaching the performance standards.

Local performance standards for each of the performance indicators have been, and will continue to be, identical to those negotiated by the SED with the United States Department of Education.

Under Perkins, local recipients with consistent low performance on one or more indicators, and with a minimum of three years of CTEDS data reported to the SED, may request negotiation of local performance standards for any of the specific indicator(s) for which performance has not been met. A three-year trend analysis of past performance will be used to establish a baseline of performance for negotiation. Reasonable, appropriate and mutually agreed-upon standard(s) of performance will be reached and reflected in the PIP that will be submitted. Through the corrective actions described, it is expected that the State performance standard(s) will be reached by the local recipient within three years.

To analyze agency performance, the SED utilizes the most recent, complete data reported by school districts and BOCES through the Career and Technical Education Data System (CTEDS). School District performance for the 2007-08 Perkins grants is contained in the 2004-05 school report cards. To develop the PIP, individual agency performance results must be reviewed. School district results are available at <http://www.emsc.nysed.gov/irts/reportcard/home.shtml> . To

find a specific district's performance level, select the *New York State School Report Card for School Year 2004-05* option. Select a county from the map; select a school district; select the *District Comprehensive Information Report* and scroll to the 4th page, *Form D*. To determine whether or not the applicant has met the requirement, the individual agency results shown must be evaluated against the required performance standard, not the State average. Refer to: www.emsc.nysed.gov/cte/perkins4/ for the Big 5 Cities and BOCES performance results. The 2004-05 school district and BOCES performance results are based upon Perkins III performance indicators and standards.

Perkins Core Indicator	2004-05 Performance Standards
1S1 Academic Attainment	72.95 %
1S2 Skill Proficiency	80.00%
2S1: Completion	96.80%
2S2: Diploma and Other Credential	96.80%
3S1: Placement	93.65%
4S1 Non-Traditional Participation	27.50%
4S2 Non-Traditional Completion	22.50%

All applicants must submit a PIP chart (in application materials). If all performance standards were met or there are no changes in partnering with the LWIB (Adult Program Perkins applicants), the PIP chart can be checked off and submitted without completing the section on performance strategies or attaching a new MOU.

A fully completed PIP chart must be submitted if either:

- A. any of the performance standards were not achieved. If, under the June 2005 outcomes the applicant agency did not meet any one of the performance standards, the PIP chart is to be fully completed. It must detail the program improvement strategies to be implemented to ensure further progress towards reaching the performance standards; or
- B. any changes have occurred in partnering with the LWIB. All recipients of Perkins adult formula funds are mandatory One-Stop partners. The required, current MOU should be part of the CTE Program Plan (CTEPP). Any changes must be fully detailed and the new MOU must be included.

PERKINS IV PERFORMANCE INDICATORS/ STANDARDS for 2007-08

Perkins IV prescribes valid and reliable core indicators of performance that measure CTE student performance and outcomes. Some accountability measures have changed from those in Perkins III, and where possible, are aligned with other federal programs (i.e., as approved and defined under No Child Left Behind (NCLB)) so that similar information can be gathered and analyzed. The core indicators are listed in the chart below. Core indicators 1S1 and 1S2 measure CTE student proficiency by using the State academic assessments (Regents examinations) in Reading/Language Arts and Mathematics. Core indicator 4S1 measures the CTE students that have graduated, and are included in the State's graduation rate. Technical skill proficiency, core indicator 2S1, is measured by student achievement on technical assessments that are aligned with business and industry-recognized standards.

Beginning in 2007-08, performance will be measured using the indicators described and listed below. The table shows Perkins IV indicators with two adjoining columns, one column for the transition year (2007-08) and one column for the remaining five-year period of Perkins IV (2008-09 through the 2012-13 school year). Performance Indicators to be measured during the 2007-2008 transition year are checked (X); those indicators that will not be measured are indicated with a NO. Indicators to be measured during the remaining five years are in the far right column.

Perkins IV Performance Indicators		2007-2008	2008-09 to 2012-13
1S1	Academic attainment - Reading/language arts	X	X
1S2	Academic attainment - Mathematics	X	X
2S1	Technical skill attainment (assessment)	NO	X
3S1	Secondary school diploma	X	X
3S2	GED or other State-recognized equivalent	NO	X
3S3	Diploma & other credential (if offered)	X	X
4S1	Student graduation rates	X	X
5S1	Secondary placement	NO	X
6S1	Nontraditional participation	X	X
6S2	Nontraditional completion	X	X

The SED will negotiate performance standards with the United States Department of Education for 2007-08.

Recipients of Perkins funds must use the state-negotiated performance standards to evaluate their CTE programs. New York State's assessment system under Perkins is based on the following performance indicators and standards for the transition year 2007-08:

Performance Indicator 1:

Student attainment of challenging State-negotiated academic, career, and technical skill proficiencies:

1S1: Academic Attainment: Reading/Language Arts: At least 83.00% of all secondary completers of CTE programs will pass the Regents Comprehensive Examination in English (or approved alternative).

1S2: Academic Attainment: Mathematics: At least 82.00% of all secondary completers of CTE programs will pass the Regents Comprehensive Examination in Mathematics (or approved alternative).

Performance Indicator 3:

3S1: Secondary School Diploma: Student attainment of a secondary school diploma or its recognized equivalent, or a proficiency credential in conjunction with a secondary school diploma.

Credentials: At least 95.00% of secondary completers of CTE programs will attain a high school diploma in the year in which they are designated as program completers.

3S3: Diploma and Other Credential: Student attainment of a proficiency credential, certificate, or degree, in conjunction with a secondary school diploma or its recognized equivalent.

Credentials: At least 95.00% of secondary completers of CTE programs will attain a high school diploma in the year in which they are designated as program completers.

Performance Indicator 4:

4S1: Student Graduation Rates: Student attainment of a secondary school diploma or its recognized equivalent, a proficiency credential in conjunction with a secondary school diploma or a postsecondary degree or credential.

Credentials: At least 95.00% of secondary completers of CTE programs will attain a high school diploma in the year in which they are designated as program completers.

Performance Indicator 6:

6S1: Nontraditional Participation: Student participation in and completion of CTE programs that lead to non-traditional training and employment.

Non-traditional Participation: At least 28.09% of participants in selected programs, as identified by SED, will be members of the non-traditional gender for the selected program.

6S2: Non-traditional Completion: At least 20.74% of all completers of selected programs, as identified by SED, will be members of the non-traditional gender for the selected program.

Accountability and Consequences

If a recipient does not meet at least 90 percent of any one of the performance standards, the recipient must submit a Performance Improvement Plan to address deficiencies in performance. If the recipient does not make improvement in meeting 90% of the performance standards for which it was deficient for three consecutive years, the SED may impose financial sanctions.

OTHER OBLIGATIONS/ RESPONSIBILITIES

Federal Civil Rights Compliance

Agencies accepting Perkins funds agree to comply with the following federal civil rights authorities: (1) Title VI of the Civil Rights Act of 1964; (2) Title IX of the Education Amendments of 1972; (3) Section 504 of the Rehabilitation Act of 1973; (4) the Age Discrimination Act of 1975; and (5) the U.S. Office for Civil Rights' *"Guidelines for Eliminating Discrimination and Denial of Services in Vocational Education on the Basis of Race, Color, National Origin, Sex and Handicap."*

In addition, each recipient agrees to the following conditions:

- A. The recipient will, upon request, provide the SED with access to its records and other sources of information that may be required to conduct Office for Civil Rights desk audits and on-site reviews to determine whether violations of the civil rights authorities have occurred; and
- B. If the SED issues a final letter of findings indicating the recipient has failed to comply with the civil rights authorities, the recipient, within 90 days of receiving the letter, will submit to the SED an approvable compliance plan describing the steps it will take to overcome the violation and the effects of the violation. The compliance plan will describe in detail: (1) the steps the recipient will take to remedy the violation; (2) the proposed timetable for remediation of the violation, and (3) the personnel responsible for implementing the compliance plan.

If a recipient of Perkins funds is determined to be in noncompliance with any of the federal civil rights statutes and is unwilling to furnish an approvable compliance plan to correct the situation, the matter will be referred to the Office for Civil Rights of the U.S. Department of Education. Should that occur, the SED might be required to withhold all federal funding from the agency in noncompliance.

Supplemental Efforts

Perkins funds are meant to supplement CTE funds provided by State and local agencies. Perkins funding of programs and activities currently supported with State and local funds would constitute supplanting and cannot be approved.

Program Improvement

Perkins funds must be used for program improvement. This refers to engaging in activities that improve the program from where it is at present. This typically means that the same activity cannot be funded for more than three years.

Seventh Grade

No funds received under Perkins may be used to provide CTE programs to students prior to the seventh grade, except that equipment and facilities purchased with funds under Perkins may be used for such students.

APPLICATION PACKAGING AND PROCEDURES

Agencies seeking more than one allocation (i.e., secondary and adult) must package each application separately. Each application must be complete with the sections placed in the sequence listed below.

Each application package must include one original set of required materials labeled "ORIGINAL" in large red letters in the upper right hand corner and containing the original signature in blue ink of the Chief School Officer/Chief Executive Officer (CSO/CEO), plus two copies of the complete set.

The required forms are to be completed as per each form's instructions. The required forms are:

1. Career and Technical Education Program Plan
2. Transmittal letter on agency letterhead signed by Chief School Officer
3. Grant Information Form - Part A
4. Grant Information Form(s)98 - Part B
5. Budget Form (FS-10)
6. Statement of Assurances
7. Consortium Participation and Fund Use Agreement Form - if applying as a consortium
8. Summary of Consortium Participation and Fund Use Agreement Form - if applying as a consortium
9. Statement of Recommendations
10. Statement of Size and Scope Assurance, if applicable
11. Certification Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements
12. MOU with LWIB for applicants with an Adult Formula allocation
13. Performance Improvement Plan (PIP) chart
14. Review Sheet for Perkins

Please mail the application package, postmarked on or before June 15, 2007 to:

NEW YORK STATE EDUCATION DEPARTMENT
OFFICE OF CURRICULUM AND INSTRUCTIONAL SUPPORT
CAREER AND TECHNICAL EDUCATION TEAM
89 WASHINGTON AVENUE, ROOM 315EB
ALBANY, NEW YORK 12234

AGENCY AWARDS (Secondary Formula)

2007-08 AGENCY AWARDS

*Met Size & Scope
2005-06*

*2007-08
Allocations*

BIG FIVE CITIES

YES	NEW YORK	\$18,164,657
YES	BUFFALO	\$838,718
YES	ROCHESTER	\$712,730
YES	SYRACUSE	\$364,965
YES	YONKERS	\$413,483

ALBANY-SARATOGA-SCHENECTADY-SCHOHARIE SERVICE AREA

YES	ALBANY	\$166,944
NO	BERNE-KNOX	\$7,742
NO	BETHLEHEM	\$22,213
NO	BURNT HILLS	\$12,476
NO	COBLESKILL-RICHMONDVILLE	\$16,578
NO	COHOES	\$26,149
NO	DUANESBURG	\$6,028
NO	GREEN ISLAND	\$2,729
NO	GUILDERLAND	\$23,589
NO	MIDDLEBURGH	\$10,403
NO	MOHONASEN	\$18,264
NO	NISKAYUNA	\$19,411
NO	NORTH COLONIE	\$22,166
NO	RAVENA	\$18,615
NO	SCHALMONT	\$9,918
YES	SCHENECTADY	\$143,377
NO	SCHOHARIE	\$7,260
NO	SCOTIA GLENVILLE	\$20,238
NO	SHARON SPRINGS	\$4,210
NO	SHENENDEHOWA	\$42,365
NO	SOUTH COLONIE	\$34,601
NO	VOORHEESVILLE	\$5,223
YES	WATERVLIT	\$17,190
	SERVICE AREA TOTAL	\$657,687

BROOME-DELAWARE-TIOGA SERVICE AREA

YES	BINGHAMTON	\$84,129
NO	CHENANGO FORKS	\$10,618
NO	CHENANGO VALLEY	\$9,643
NO	DEPOSIT	\$7,919
NO	HARPURSVILLE	\$9,839

NO	JOHNSON CITY	\$27,276
NO	MAINE ENDWELL	\$14,790
NO	NEWARK VALLEY	\$11,180
NO	OWEGO-APALACHIN	\$16,913
NO	SUSQUEHANNA VALLEY	\$15,490
NO	TIOGA	\$9,979
NO	UNION-ENDICOTT	\$40,409
NO	VESTAL	\$25,799
NO	WHITNEY POINT	\$17,673
NO	WINDSOR	\$13,835
	SERVICE AREA TOTAL	\$315,491

CATTARAUGUS-ALLEGANY-ERIE-WYOMING SERVICE AREA

NO	ALLEGANY-LIMESTONE	\$8,079
NO	ANDOVER	\$3,270
NO	GENESEE VALLEY CSD	\$5,668
NO	BELFAST	\$6,545
NO	BOLIVAR-RICHBURG	\$9,770
NO	CATTARAUGUS-LITTLE VALLEY	\$11,142
NO	CUBA-RUSHFORD	\$8,770
NO	ELLCOTTVILLE	\$3,829
NO	FILLMORE	\$10,475
NO	FRANKLINVILLE	\$9,720
NO	FRIENDSHIP	\$3,815
NO	HINSDALE	\$5,616
NO	OLEAN	\$23,132
NO	PORTVILLE	\$8,814
NO	RANDOLPH	\$14,486
YES	SALAMANCA	\$17,192
YES	SCIO	\$3,998
NO	WELLSVILLE	\$13,398
NO	WEST VALLEY	\$1,998
NO	WHITESVILLE	\$1,831
NO	YORKSHIRE-PIONEER	\$21,821
	SERVICE AREA TOTAL	\$193,371

CAYUGA-ONONDAGA SERVICE AREA

NO	AUBURN	\$49,767
NO	CATO MERIDIAN	\$10,650
NO	JORDAN ELBRIDGE	\$11,123
NO	MORAVIA	\$8,569
NO	PORT BYRON	\$9,651
NO	SKANEATELES	\$8,012
NO	SOUTHERN CAYUGA	\$6,933
NO	UNION SPRINGS	\$7,615
NO	WEEDSPORT	\$6,792
	SERVICE AREA TOTAL	\$119,112

CLINTON-ESSEX-WARREN-WASHINGTON SERVICE AREA

NO	AUSABLE VALLEY	\$12,811
NO	BEEKMANTON	\$18,702
NO	CHAZY	\$3,607
NO	CROWN POINT	\$4,080
NO	ELIZABETHTOWN	\$3,597
NO	KEENE	\$650
NO	MORIAH	\$6,004
NO	NORTHEASTERN CLINTON	\$12,418
NO	NORTHERN ADIRONDACK	\$9,131
NO	PERU	\$18,222
NO	PLATTSBURGH	\$18,764
NO	SARANAC	\$15,380
NO	SCHROON LAKE	\$1,889
NO	TICONDAROGA	\$11,240
NO	WESTPORT	\$1,566
NO	WILLSBORO	\$2,359
	SERVICE AREA TOTAL	\$140,418

DELAWARE-CHENANGO-MADISON-OTSEGO SERVICE AREA

NO	AFTON	\$6,207
NO	BAINBRIDGE GUILFORD	\$7,084
NO	DELHI	\$7,458
NO	DOWNSVILLE	\$3,214
NO	FRANKLIN	\$3,189
NO	GILBERTSVILLE-MT. UPTON	\$4,211
NO	GREENE	\$10,331
NO	HANCOCK	\$4,382
NO	NORWICH	\$23,456
NO	OTEGO-UNADILLA	\$9,603
NO	OTSELIC VALLEY	\$4,539
NO	OXFORD	\$5,975
NO	SHERBURNE EARLVILLE	\$13,938
NO	SIDNEY	\$11,842
NO	UNADILLA VALLEY	\$10,017
YES	WALTON	\$9,068
	SERVICE AREA TOTAL	\$134,514

DUTCHESS SERVICE AREA

NO	ARLINGTON	\$49,882
NO	BEACON	\$31,856
NO	DOVER	\$13,443
NO	HYDE PARK	\$29,912
NO	MILLBROOK	\$5,279
NO	PAWLING	\$5,324
NO	PINE PLAINS	\$10,550
YES	POUGHKEEPSIE	\$64,545
NO	RED HOOK	\$14,381
NO	RHINEBECK	\$7,668

NO	SPACKENKILL	\$7,732
NO	WAPPINGERS FALLS	\$60,156
NO	NORTHEAST	\$7,516
	SERVICE AREA TOTAL	\$308,244

ERIE #1 SERVICE AREA

NO	AKRON	\$8,267
NO	ALDEN	\$12,417
NO	AMHERST	\$20,008
NO	CHEEKTOWAGA	\$20,323
NO	CLARENCE	\$16,601
NO	CLEVELAND HILL	\$12,658
NO	DEPEW	\$12,867
NO	FRONTIER	\$26,198
NO	GRAND ISLAND	\$14,839
NO	HAMBURG	\$20,826
NO	KENMORE	\$67,155
NO	LACKAWANNA	\$36,065
NO	LANCASTER	\$28,921
NO	MARYVALLE	\$14,756
NO	SLOAN	\$10,560
NO	SWEET HOME	\$31,458
NO	TONAWANDA	\$15,996
NO	WEST SENECA	\$44,649
NO	WILLIAMSVILLE	\$53,288
	SERVICE AREA TOTAL	\$467,852

ERIE #2: CATTARAUGUS-CHAUTAUQUA SERVICE AREA

NO	BEMUS POINT	\$6,836
NO	BROCTON	\$6,459
NO	CASSADAGA VALLEY	\$10,940
NO	CHAUTAUQUA LAKE	\$7,709
NO	CLYMER	\$5,473
NO	DUNKIRK	\$38,569
NO	EAST AURORA	\$9,734
NO	EDEN	\$7,840
NO	EVANS-BRANT	\$23,697
NO	FALCONER	\$11,358
NO	FORESTVILLE	\$5,577
NO	FREDONIA	\$11,284
NO	FREWSBURG	\$5,117
NO	GOWANDA	\$15,418
NO	HOLLAND	\$8,360
NO	IROQUOIS	\$14,292
YES	JAMESTOWN	\$65,610
NO	NORTH COLLINS	\$5,724
NO	ORCHARD PARK	\$22,630
YES	PANAMA	\$7,814
NO	PINE VALLEY	\$13,704

NO	RIPLEY	\$3,270
NO	SHERMAN	\$4,640
NO	SILVER CREEK	\$10,967
NO	SOUTHWESTERN	\$12,505
NO	SPRINGVILLE-GRIFFIN	\$15,049
NO	WESTFIELD	\$9,258
	SERVICE AREA TOTAL	\$352,998

FRANKLIN-ESSEX-HAMILTON SERVICE AREA

NO	BRUSHTON MOIRA	\$8,858
NO	CHATEAUGAY	\$4,664
NO	LAKE PLACID	\$6,505
NO	LONG LAKE	\$1,103
NO	MALONE	\$23,148
NO	SALMON RIVER	\$15,282
NO	SARANAC LAKE	\$11,058
NO	ST.REGIS FALLS	\$4,029
NO	TUPPER LAKE	\$7,456
	SERVICE AREA TOTAL	\$82,102

LIVINGSTON-GENESEE-STEUBEN-WYOMING SERVICE AREA

NO	ALEXANDER	\$5,801
NO	ATTICA	\$11,740
NO	AVON	\$7,949
NO	BATAVIA	\$28,728
NO	BYRON BERGEN	\$6,771
NO	CALEDONIA MUMFORD	\$6,886
NO	DALTON-NUNDA	\$7,808
NO	DANSVILLE	\$14,359
NO	ELBA	\$5,018
NO	GENESEO	\$7,008
NO	LE ROY	\$8,177
NO	LETCHWORTH	\$8,752
NO	LIVONIA	\$11,201
NO	MOUNT MORRIS	\$7,041
NO	OAKFIELD ALABAMA	\$7,265
NO	PAVILION	\$6,719
NO	PEMBROOK	\$6,842
NO	PERRY	\$8,986
NO	WARSAW	\$10,851
NO	WAYLAND-COHOCTON	\$15,757
NO	YORK	\$3,760
	SERVICE AREA TOTAL	\$197,417

HAMILTON-FULTON-MONTGOMERY SERVICE AREA

NO	AMSTERDAM	\$42,293
NO	BROADALBIN-PERTH	\$8,819
NO	CANAJOHARIE	\$10,297
NO	FONDA FULTONVILLE	\$9,965

NO	FORT PLAIN	\$9,091
NO	GLOVERSVILLE	\$37,357
NO	JOHNSTOWN	\$19,054
NO	LAKE PLEASANT	\$409
NO	MAYFIELD	\$8,732
NO	NORTHVILLE	\$3,906
NO	ST JOHNSVILLE	\$5,304
NO	WELLS	\$1,469
	SERVICE AREA TOTAL	\$156,696

HERKIMER-FULTON-HAMILTON-STSEGO SERVICE AREA

NO	BRIDGEWATER	\$12,701
NO	DOLGEVILLE	\$7,814
NO	FRANKFORT	\$10,414
NO	HERKIMER	\$8,808
NO	ILION	\$17,679
NO	LITTLE FALLS	\$9,910
NO	MOHAWK	\$5,517
NO	OPPENHEIM EPHRATAH	\$4,974
NO	POLAND	\$7,728
NO	VAN HORNESVILLE-OWEN	\$3,649
NO	RICHFIELD SPRINGS	\$5,818
NO	WEST CANADA VALLEY	\$6,949
	SERVICE AREA TOTAL	\$101,961

JEFFERSON-LEWIS-HAMILTON-HERKIMER-ONEIDA SERVICE AREA

NO	ADIRONDACK	\$13,471
NO	ALEXANDRIA	\$7,644
NO	BEAVER RIVER	\$9,259
NO	BELLEVILLE-HENDERSON	\$6,591
NO	CARTHAGE	\$28,715
NO	COPENHAGEN	\$5,705
NO	GENERAL BROWN	\$11,037
NO	INDIAN RIVER	\$29,849
NO	LA FARGEVILLE	\$6,268
NO	LOWVILLE	\$13,720
NO	LYME	\$4,338
NO	SACKETS HARBOR	\$5,093
NO	SOUTH JEFFERSON	\$17,304
NO	SOUTH LEWIS	\$12,004
NO	THOUSAND ISLANDS	\$10,224
NO	TOWN OF WEBB	\$2,856
NO	WATERTOWN	\$60,215
	SERVICE AREA TOTAL	\$244,296

MADISON-ONEIDA SERVICE AREA

NO	CAMDEN	\$20,793
NO	CANASTOTA	\$10,700
NO	HAMILTON	\$7,406

NO	MADISON	\$4,527
NO	MORRISVILLE EATON	\$9,401
NO	ONEIDA	\$20,846
NO	ROME	\$62,794
NO	SHERRILL	\$13,077
NO	STOCKBRIDGE VALLEY	\$4,703
	SERVICE AREA TOTAL	\$154,247

MONROE #1 BOCES

NO	BRIGHTON	\$14,951
NO	EAST IRONDEQUOIT	\$27,920
NO	EAST ROCHESTER	\$11,830
NO	FAIRPORT	\$32,128
NO	HONEOYE FALLS-LIMA	\$13,039
NO	PENFIELD	\$25,901
NO	PITTSFORD	\$22,708
YES	RUSH HENRIETTA	\$35,905
NO	WEBSTER	\$37,524
NO	WEST IRONDEQUOIT	\$17,713
	SERVICE AREA TOTAL	\$239,619

MONROE #2 ORLEANS SERVICE AREA

NO	BROCKPORT	\$25,668
NO	CHURCHVILLE CHILI	\$21,072
NO	GATES CHILI	\$30,717
YES	GREECE	\$83,375
YES	HILTON	\$20,499
NO	HOLLEY	\$9,255
NO	KENDALL	\$7,595
NO	SPENCERPORT	\$18,703
NO	WHEATLAND CHILI	\$5,318
	SERVICE AREA TOTAL	\$222,201

NASSAU SERVICE AREA

NO	BALDWIN	\$32,607
NO	BELLMORE-MERRICK	\$63,093
NO	BETHPAGE	\$16,541
NO	CARLE PLACE	\$9,344
NO	EAST MEADOW	\$40,874
NO	EAST ROCKAWAY	\$9,702
NO	EAST WILLISTON	\$7,315
YES	FARMINGDALE	\$33,716
NO	FREEPORT	\$68,014
NO	GARDEN CITY	\$17,891
NO	GLEN COVE	\$34,205
NO	GREAT NECK	\$37,582
NO	HEMPSTEAD	\$104,199
NO	HERRICKS	\$20,208
NO	HEWLETT WOODMERE	\$22,091

NO	HICKSVILLE	\$28,971
NO	ISLAND TREES	\$26,376
NO	JERICHO	\$14,274
NO	LAWRENCE	\$44,618
YES	LEVITTOWN	\$35,736
NO	LOCUST VALLEY	\$12,492
NO	LONG BEACH	\$46,110
NO	LYNBROOK	\$14,148
NO	MALVERNE	\$12,580
NO	MANHASSET	\$15,019
NO	MASSAPEQUA	\$34,372
NO	MINEOLA	\$14,728
NO	NORTH SHORE	\$10,581
NO	OCEANSIDE	\$31,782
NO	OYSTER BAY	\$11,734
NO	PLAINEDGE	\$15,455
NO	PLAINVIEW	\$22,666
NO	PORT WASHINGTON	\$27,815
NO	ROCKVILLE CENTRE	\$23,542
NO	ROOSEVELT	\$35,828
NO	ROSLYN	\$15,549
NO	SEAFORD	\$13,492
NO	SEWANHAKA	\$107,545
NO	SYOSSET	\$27,659
NO	UNIONDALE	\$44,656
NO	VALLEY STREAM CHS	\$46,476
NO	WANTAGH	\$11,959
NO	WEST HEMPSTEAD	\$18,594
NO	WESTBURY	\$39,156
	SERVICE AREA TOTAL	\$1,321,298

ONEIDA-MADISON-HERKIMER SERVICE AREA

NO	BROOKFIELD	\$3,268
NO	CLINTON	\$8,480
NO	HOLLAND PATENT	\$10,478
NO	NEW HARTFORD	\$13,635
NO	NEW YORK MILLS	\$4,791
NO	ORISKANY	\$6,066
YES	REMSSEN	\$4,302
NO	SAUQUOIT VALLEY	\$8,336
NO	UTICA	\$149,185
NO	WATERVILLE	\$9,770
NO	WESTMORELAND	\$6,533
NO	WHITESBORO	\$27,598
	SERVICE AREA TOTAL	\$252,443

ONONDAGA-CORTLAND-MADISON SERVICE AREA

NO	BALDWINSVILLE	\$30,192
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NO	CAZENOVIA	\$9,179
NO	CHITTENANGO	\$16,891
NO	CINCINNATUS	\$7,403
NO	CORTLAND	\$29,179
NO	DE RUYTER	\$4,667
NO	EAST SYRACUSE	\$21,944
NO	FABIUS	\$5,200
NO	HOMER	\$17,971
NO	JAMESVILLE-DEWITT	\$15,906
NO	LA FAYETTE	\$6,958
NO	LIVERPOOL	\$56,074
NO	MANLIUS	\$21,697
NO	MARATHON	\$7,391
NO	MARCELLUS	\$9,701
NO	MCGRAW	\$5,050
NO	NORTH SYRACUSE	\$59,902
NO	ONONDAGA	\$5,406
NO	SOLVAY	\$13,235
NO	TULLY	\$7,980
NO	WEST GENESEE	\$23,536
NO	WESTHILL	\$10,917
	SERVICE AREA TOTAL	\$386,378

ONTARIO-CAYUGA-SENECA-WAYNE-YATES SERVICE AREA

NO	CANANDAIGUA	\$23,751
NO	CLYDE-SAVANNAH	\$10,700
NO	DUNDEE	\$13,650
NO	EAST BLOOMFIELD	\$4,545
NO	GANANDA	\$5,755
NO	GENEVA	\$32,561
NO	GORHAM-MIDDLESEX	\$11,404
NO	HONEOYE	\$7,023
NO	LYONS	\$8,138
NO	MANCHESTER-SHORTSVILLE	\$6,510
NO	MARION	\$6,697
NO	NAPLES	\$8,407
NO	NEWARK	\$29,158
NO	NORTH ROSE WOLCOTT	\$17,214
NO	PALMYRA	\$15,222
NO	PENN YAN	\$22,758
NO	PHELPS-CLIFTON SPRINGS	\$14,674
NO	RED CREEK	\$10,518
NO	ROMULUS	\$4,702
NO	SENECA FALLS	\$10,107
NO	SODUS	\$15,068
NO	VICTOR	\$18,425
NO	WATERLOO	\$19,684
NO	ADDISON	\$14,983
NO	WAYNE	\$13,856

NO	WILLIAMSON	\$7,431
	SERVICE AREA TOTAL	\$329,191
ORANGE-ULSTER SERVICE AREA		
NO	CHESTER	\$6,043
NO	CORNWALL	\$16,196
NO	FLORIDA	\$4,373
NO	GOSHEN	\$15,125
NO	HIGHLAND FALLS	\$9,214
NO	KIRYAS JOEL	\$107,169
NO	MARLBORO	\$13,472
NO	MIDDLETOWN	\$72,130
NO	MINISINK VALLEY	\$21,154
NO	MONROE WOODBURY	\$32,635
NO	MONTGOMERY	\$33,313
YES	NEWBURGH	\$122,566
NO	PINE BUSH	\$31,989
NO	PORT JERVIS	\$29,579
NO	TUXEDO	\$1,475
NO	WARWICK VALLEY	\$29,596
NO	WASHINGTONVILLE	\$26,544
	SERVICE AREA TOTAL	\$572,573
ORLEANS-NIAGARA SERVICE AREA		
NO	ALBION	\$24,073
NO	BARKER	\$9,033
NO	LEWISTON PORTER	\$14,538
NO	LOCKPORT	\$53,021
NO	LYNDONVILLE	\$7,095
NO	MEDINA	\$20,044
NO	NEWFANE	\$10,906
NO	NIAGARA FALLS	\$121,990
NO	NIAGARA WHEATFIELD	\$25,481
NO	NORTH TONAWANDA	\$31,878
NO	ROYALTON HARTLAND	\$9,150
NO	STARPOINT	\$14,070
NO	WILSON	\$7,670
	SERVICE AREA TOTAL	\$348,949
OSWEGO SERVICE AREA		
NO	ALTMAR PARISH	\$13,456
NO	CENTRAL SQUARE	\$33,249
NO	FULTON	\$33,844
NO	HANNIBAL	\$17,432
NO	MEXICO	\$21,052
NO	OSWEGO	\$47,819
NO	PHOENIX	\$15,410
NO	PULASKI	\$10,310

NO	SANDY CREEK	\$10,314
	SERVICE AREA TOTAL	\$202,886
OTSEGO-DELAWARE-SCHOHARIE-GREENE SERVICE AREA		
NO	ANDES	\$1,105
NO	CHARLOTTE VALLEY	\$4,644
NO	CHERRY VALLEY-SPRINGFIELD	\$5,739
NO	COOPERSTOWN	\$8,008
NO	EDMESTON	\$3,920
NO	GILBOA CONESVILLE	\$3,615
NO	HUNTER-TANNERSVILLE	\$6,541
NO	JEFFERSON	\$2,300
NO	LAURENS	\$3,798
NO	MARGARETVILLE	\$6,095
NO	MILFORD	\$3,655
NO	MORRIS	\$4,510
NO	ONEONTA	\$17,403
NO	ROXBURY	\$4,145
NO	SCHENEVUS	\$3,043
NO	SOUTH KORTRIGHT	\$4,057
NO	STAMFORD	\$4,130
NO	WINDHAM ASHLAND	\$4,509
NO	WORCESTER	\$3,483
	SERVICE AREA TOTAL	\$94,702
PUTNAM-WESTCHESTER SERVICE AREA		
NO	BEDFORD	\$24,484
NO	BREWSTER	\$24,369
NO	BRIARCLIFF MANOR	\$5,665
NO	CARMEL	\$25,489
NO	CHAPPAQUA	\$15,604
NO	CROTON HARMON	\$6,141
NO	HALDANE	\$7,074
NO	HENDRICK HUDSON	\$15,604
NO	KATONAH LEWISBORO	\$16,671
NO	LAKELAND	\$33,561
NO	MAHOPAC	\$19,698
NO	NORTH SALEM	\$6,175
YES	OSSINING	\$34,119
NO	PEEKSKILL	\$30,512
NO	PUTNAM VALLEY	\$8,579
NO	SOMERS	\$11,221
NO	YORKTOWN HEIGHTS	\$21,377
	SERVICE AREA TOTAL	\$306,344
RENSSELAER-COLUMBIA-GREENE SERVICE AREA		
NO	AVERILL PARK	\$15,736
NO	BERLIN	\$10,594
NO	BRUNSWICK CENTRAL	\$5,914

NO	CAIRO	\$12,382
NO	CATSKILL	\$19,318
NO	CHATHAM	\$7,794
NO	TACONIC HILLS	\$13,773
NO	COXSACKIE ATHENS	\$13,230
NO	EAST GREENBUSH	\$26,372
NO	GERMANTOWN	\$4,464
NO	GREENVILLE	\$10,579
NO	HOOSIC VALLEY	\$7,698
NO	HOOSICK FALLS	\$10,124
NO	HUDSON	\$30,403
NO	KINDERHOOK	\$14,207
NO	LANSINGBURGH	\$31,713
NO	NEW LEBANON	\$6,352
NO	RENSSELAER	\$13,644
NO	SCHODACK	\$8,408
YES	TROY	\$59,410
	SERVICE AREA TOTAL	\$322,116

ROCKLAND SERVICE AREA

NO	CLARKSTOWN	\$32,315
NO	EAST RAMAPO	\$268,901
NO	HAVERSTRAW-STONY POINT	\$52,360
NO	NANUET	\$9,832
NO	NYACK	\$16,251
NO	PEARL RIVER	\$10,973
NO	RAMAPO	\$24,551
NO	SOUTH ORANGETOWN	\$15,396
	SERVICE AREA TOTAL	\$430,579

ST. LAWRENCE-LEWIS SERVICE AREA

NO	BRASHER FALLS	\$9,886
YES	CANTON	\$10,766
NO	CLIFTON FINE	\$3,839
NO	COLTON PIERREPONT	\$3,918
NO	EDWARDS-KNOX	\$5,898
NO	GOUVERNEUR	\$17,918
NO	HAMMOND	\$2,973
NO	HARRISVILLE	\$3,207
YES	HERMON DEKALB	\$5,320
NO	HEUVELTON	\$8,325
NO	LISBON	\$6,731
NO	MADRID WADDINGTON	\$6,632
NO	MASSENA	\$26,719
NO	MORRISTOWN	\$4,380
NO	NORWOOD NORFOLK	\$10,742
NO	OGDENSBURG	\$18,593
NO	PARISHVILLE-HOPKINTON	\$4,462

NO	POTSDAM	\$14,415
	SERVICE AREA TOTAL	\$164,722
GREATER SOUTHERN TIER SERVICE AREA		
NO	ELMIRA	\$98,788
NO	ELMIRA HIEGHTS	\$8,097
NO	HORSEHEADS	\$25,938
NO	ODESSA MONTOUR	\$9,657
NO	SPENCER VAN ETTEN	\$8,232
NO	WATKINS GLEN	\$11,309
NO	WAVERLY	\$15,573
NO	ALFRED-ALMOND	\$3,998
NO	ARKPORT	\$3,652
NO	AVOCA	\$7,920
NO	BATH	\$16,394
NO	BRADFORD	\$3,326
NO	CAMPBELL-SAVONA	\$8,274
NO	CANASERAGA	\$3,330
NO	CANISTEO-GREENWOOD	\$8,720
NO	CORNING	\$39,454
NO	HAMMONDSPORT	\$6,933
NO	HORNELL	\$25,698
NO	JASPER-TROUPSBURG	\$7,964
YES	PRATTSBURG	\$5,360
	SERVICE AREA TOTAL	\$318,620
EASTERN SUFFOLK SERVICE AREA		
NO	BAY SHORE	\$57,239
NO	BAYPORT BLUE POINT	\$8,660
YES	BRENTWOOD	\$139,569
NO	BRIDGEHAMPTON	\$1,656
NO	CENTER MORICHES	\$12,594
NO	CENTRAL ISLIP	\$67,548
NO	COMSEWOGUE	\$18,417
NO	CONNETQUOT	\$34,618
NO	EAST HAMPTON	\$21,743
NO	EAST ISLIP	\$26,598
NO	EASTPORT-SOUTH MANOR	\$12,459
NO	FISHERS ISLAND	\$371
NO	GREENPORT	\$5,961
NO	HAMPTON BAYS	\$23,067
NO	HAUPPAUGE	\$15,227
NO	ISLIP	\$18,398
NO	LONGWOOD	\$65,338
NO	MATTITUCK-CUTCHOQUE	\$9,619
NO	MIDDLE COUNTRY	\$60,314
NO	MILLER PLACE	\$16,750
NO	MOUNT SINAI	\$11,664
NO	PATCHOGUE	\$49,705

NO	PORT JEFFERSON	\$5,640
NO	RIVERHEAD	\$48,596
NO	ROCKY POINT	\$22,127
NO	SACHEM	\$73,876
NO	SAG HARBOR	\$3,982
NO	SAYVILLE	\$17,058
NO	SHELTER ISLAND	\$2,455
NO	SHOREHAM-WADING RIVER	\$9,584
NO	SOUTH COUNTRY	\$45,750
NO	SOUTHAMPTON	\$11,353
NO	SOUTHOLD	\$4,081
NO	THREE VILLAGE	\$32,462
NO	WESTHAMPTON BEACH	\$5,944
NO	WEST ISLIP	\$21,640
NO	WILLIAM FLOYD	\$101,560
	SERVICE AREA TOTAL	\$1,083,623

WESTERN SUFFOLK SERVICE AREA

NO	AMITYVILLE	\$33,924
NO	BABYLON	\$9,638
NO	COLD SPRING HARBOR	\$6,424
NO	COMMACK	\$31,736
NO	COPIAGUE	\$40,085
NO	DEER PARK	\$25,234
NO	ELWOOD	\$10,893
NO	HALF HOLLOW HILLS	\$44,042
NO	HARBORFIELDS	\$17,162
NO	HUNTINGTON	\$37,062
NO	KINGS PARK	\$22,137
NO	LINDENHURST	\$46,574
NO	NORTH BABYLON	\$27,568
NO	NORTHPORT	\$31,870
NO	SMITHTOWN	\$42,898
NO	SOUTH HUNTINGTON	\$43,962
NO	WEST BABYLON	\$29,685
NO	WYANDANCH	\$29,342
	SERVICE AREA TOTAL	\$530,236

SULLIVAN SERVICE AREA

NO	ELDRED	\$6,295
NO	FALLSBURGH	\$17,535
NO	LIBERTY	\$15,471
NO	LIVINGSTON MANOR	\$6,106
NO	MONTICELLO	\$39,614
NO	SULLIVAN WEST	\$12,523
NO	ROSCOE	\$3,128
NO	TRI VALLEY	\$9,793
	SERVICE AREA TOTAL	\$110,464

TOMKINS-SENECA-TIOGA SERVICE AREA

NO	CANDOR	\$7,212
NO	DRYDEN	\$16,823
NO	GROTON	\$7,315
NO	ITHACA	\$43,028
NO	LANSING	\$5,850
NO	NEWFIELD	\$6,761
NO	SOUTH SENECA	\$10,050
NO	TRUMANSBURG	\$9,336
	SERVICE AREA TOTAL	\$106,376

ULSTER SERVICE AREA

NO	ELLENVILLE	\$20,818
NO	HIGHLAND	\$11,782
NO	KINGSTON	\$73,398
NO	NEW PALTZ	\$14,484
NO	ONTEORA	\$15,605
NO	RONDOUT VALLEY	\$25,083
NO	SAUGERTIES	\$22,871
NO	WALLKILL	\$20,741
	SERVICE AREA TOTAL	\$204,782

WASHINGTON-SARATOGA-WARREN-HAMILTON-ESSEX SERVICE AREA

NO	ARGYLE	\$5,893
NO	BALLSTON SPA	\$30,063
NO	BOLTON	\$1,336
NO	CAMBRIDGE	\$7,081
NO	CORINTH	\$10,973
NO	FORT ANN	\$3,055
NO	FORT EDWARD	\$4,747
NO	GALWAY	\$9,795
NO	GLENS FALLS	\$24,005
NO	GRANVILLE	\$11,953
NO	GREENWICH	\$6,504
NO	HADLEY LUZERNE	\$11,285
NO	HARTFORD	\$2,112
NO	HUDSON FALLS	\$26,461
NO	INDIAN LAKE	\$1,821
NO	JOHNSBURG	\$4,067
NO	LAKE GEORGE	\$5,566
NO	MECHANICVILLE	\$9,578
NO	MINERVA	\$1,260
NO	NEWCUMB	\$538
NO	NORTH WARREN	\$6,522
NO	QUEENSBURY	\$21,275
NO	SALEM	\$5,402
NO	SARATOGA SPRINGS	\$44,766
NO	SCHUYLERVILLE	\$8,876

NO	SOUTH GLENS FALLS	\$18,118
NO	STILLWATER	\$9,594
NO	WARRENSBURG	\$9,703
NO	WATERFORD	\$7,269
NO	WHITEHALL	\$7,800
	SERVICE AREA TOTAL	\$317,423

WESTCHESTER SERVICE AREA

NO	ARDSLEY	\$8,543
NO	BLIND-BROOK RYE	\$4,387
NO	BRONXVILLE	\$4,842
NO	BYRAM HILLS	\$8,357
NO	DOBBS FERRY	\$8,667
NO	EASTCHESTER	\$11,434
NO	EDGEMONT	\$5,474
NO	ELMSFORD	\$7,858
NO	GREENBURGH	\$14,521
NO	HARRISON	\$22,175
NO	HASTINGS ON HUDSON	\$6,882
NO	IRVINGTON	\$8,673
NO	MAMARONECK	\$23,240
NO	MOUNT VERNON	\$117,142
NO	MT PLEASANT CENTRAL	\$13,373
NO	NEW ROCHELLE	\$91,969
NO	PELHAM	\$12,437
NO	PLEASANTVILLE	\$6,742
NO	PORT CHESTER	\$37,701
NO	RYE	\$11,042
NO	RYE NECK	\$8,139
NO	SCARSDALE	\$19,818
NO	TARRYTOWN	\$14,961
NO	TUCKAHOE	\$5,691
NO	VALHALLA	\$6,621
NO	WHITE PLAINS	\$59,884
	SERVICE AREA TOTAL	\$540,573

ADULT FORMULA

CATTARAUGUS-ALLEGANY BOCES	\$89,271
DELAWARE-CHENANGO BOCES	\$69,817
EASTERN SUFFOLK BOCES	\$101,808
ERIE #1 BOCES	\$158,224
ERIE #2 - CHAUTAUQUA BOCES	\$86,893
MONROE #2 BOCES	\$71,547
ONONDAGA-CORTLAND-MADISON BOCES	\$147,200
ORANGE-ULSTER BOCES	\$51,877
ROCKLAND BOCES	\$110,022
ULSTER BOCES	\$53,606
WESTERN SUFFOLK BOCES	\$221,773

BUFFALO CITY SCHOOL DISTRICT	\$704,225
NEW YORK CITY BOARD OF EDUCATION	\$1,724,682
ROCHESTER CITY SCHOOL DISTRICT:	\$225,663
YONKERS CITY SCHOOL DISTRICT	\$339,360

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APPLICATION FORMS (Below, in Word)

University of the State of New York
THE STATE EDUCATION DEPARTMENT

Grant Information Form
July 1, 2007 to June 30, 2008
Perkins

Secondary or Adult Basic Grant

Project Number: _____ - _____ - _____

A separate Grant Information Form must be completed and submitted with each FS-10. **Part A** refers to the overall grant. **Part B** should be reproduced and completed for each major effort within the overall grant.

Part A- Overall Grant

1. Agency Name: _____
2. Contact Person: _____
Telephone number: (_____) _____
Fax number: (_____) _____
E-mail address: _____

3. **Secondary formula** ☐ **Adult formula** ☐
4. Proposed population and expenditures:

Population	# of Students	Proposed Expenditure
Nonspecial Populations		\$
Special Populations ♦		\$
Grand Total		\$

- ♦ Individuals with disabilities; individuals from economically disadvantaged families, including foster children; individuals preparing for nontraditional training and employment; single parent, including single pregnant women; displaced homemakers; and individuals with limited English proficiency

For Basic Grant Allocation funding, these entries are to be a summation of all efforts shown in Part B and are to be **nonduplicative**.

The proposed total expenditure must equal the total on this project's FS-10.

Secondary or Adult

Summary of all Part Bs**1. Spreadsheet of Proposed Expenditures by Major Effort:**

Budget Category	Major Effort 1	Major Effort 2	Major Effort 3	Major Effort 4	Major Effort 5	Total Proposed Expenditures
Professional Salaries						
Nonprofessional Salaries						
Purchased Services						
Supplies and Materials						
Travel Expenses						
Employee Benefits						
Indirect Costs						
BOCES Services						
Minor Remodeling						
Equipment						
Total						

Notes: Duplicate if this project has more than five Major Efforts.

The total proposed expenditure must equal the total on this project's FS-10

Grant Information Form
July 1, 2007 to June 30, 2008
Perkins

Part B – Major Effort Data

Agency: _____

A separate Part B is to be completed and submitted for each Major Effort included under the attached FS-10. Number each major effort and respond to each item below. Make additional copies of Part B as needed.

1. This Major Effort's number: _____ of _____
2. Title of this Major Effort:: _____
3. Year of this Major Effort : _____ of 3
4. Director of this Major Effort : _____
5. Proposed population and expenditures for this Major Effort:
Enter the number of students to be served by this Major Effort by student type and proposed expenditures. **Student numbers are to be nonduplicative.** Use the nonspecial category for students who are not members of special populations. When a student qualifies under more than one category, select the category most closely aligned with the Major Effort.

Population	Number	Estimated Expenditure
Nonspecial		\$
Individuals with disabilities		\$
Economically disadvantaged/foster children		\$
Individuals preparing for nontraditional training and employment		\$
Single parent/single pregnant women		\$
Displaced homemaker		\$
Individuals with limited English proficiency		\$
Major Effort Total		\$

6. **Major Effort Description:** Provide a detailed description of this Major Effort. It should include a full description of the following:
 - a) need for this Major Effort;
 - b) relationship of this Major Effort to the agency's CTEPP;
 - c) objectives of this Major Effort (quantified where appropriate);
 - d) the core services and administrative support for the One-Stop delivery system (if applicable);
 - e) activities to achieve the objectives;
 - f) size, scope and quality of this Major Effort's activities and their relationship to the objectives;
 - g) coordination with external agencies (especially workforce preparation providers); and
 - h) timeline for this Major Effort.

7a. Perkins lists both mandated and allowable activities to be carried out by recipients using funds received. There are nine mandated activities and numerous allowable activities. Guidance provided by the U.S. Office of Vocational and Adult Education indicates that each local recipient is not responsible for expending Perkins funds on all nine mandated activities. However, the SED is responsible for ensuring that Perkins funds statewide have been expended to carry out each of the nine mandated activities. In addition, recipients of Perkins funds must use at least 60 percent of those funds to carry out any or all of the nine mandated activities. ***Circle the roman numeral(s) indicating which of the nine Perkins mandated activities that this Major Effort addresses.***

- i. Strengthen the academic and career and technical skills of students participating in CTE programs by strengthening the academic and CTE components of these programs through the integration of academics with CTE programs through a coherent sequence of courses to ensure learning in the core academic and career and technical education subjects
- ii. Link CTE at the secondary and postsecondary level, including by offering the relevant elements of not less than one program of study
- iii. Provide students with strong experience in and understanding of all aspects of an industry, which may include work-based learning experiences
- iv. Develop, improve or expand the use of technology in CTE, which may include:
 - training of CTE personnel to use technology, which may include distance learning;
 - providing CTE students with the skills needed to enter technology and telecommunications fields; or
 - encouraging schools to collaborate with high technology industries to offer internships and mentoring programs.
- v. Provide in-service and pre-service professional development programs to teachers, faculty, administrators, and career guidance and academic CTE counselors on topics including:
 - effective integration of academics and CTE
 - effective teaching skills based on research,
 - effective practices to improve parental and community involvement;
 - effective use of scientifically-based research and data to improve instruction
 - provision of programs that ensure that teachers and CTE personnel stay current with all aspects of the industry;
 - involvement of internship programs that provide relevant business experience to teachers; and
 - programs designed to train teachers specifically in the use and application of technology.
- vi. Develop and implement evaluations of the CTE programs carried out with Perkins funds, including an assessment of how the needs of special populations are being met.
- vii. Initiate, improve, expand and modernize quality CTE programs, including relevant technology.
- viii. Provide services and activities that are of sufficient size, scope and quality to be effective.
- ix. Provide activities to prepare special populations, including single parents and displaced homemakers who are enrolled in CTE programs, for high skill, high wage, high demand occupations that will lead to self-sufficiency.

7b. In addition, each recipient must use its Perkins funds to address problem areas identified by the recipient's internal program evaluation in the context of the nine mandated items above.

8. On the chart below, identify the estimated amount of money to be spent on the mandated items for this major activity. All individual (i.e., not consortium) eligible agencies with Schools in Need of Improvement (SINI) or Schools Under Registration Review (SURR) are required to use at least fifteen percent of their secondary formula allocation for the provision of activities which address the needs of CTE students in those schools. These activities must be one of the nine listed above.

Mandated Items		Estimated \$ Am't
1.	Strengthen the academic and CTE skills of students participating in CTE programs through integration.	\$
2.	Link CTE at the secondary and the postsecondary levels by offering not less than one program of study	\$
3.	Provide students with strong experience in and understanding of all aspects of an industry, including work-based learning.	\$
4.	Develop, improve, or expand the use of technology in CTE, providing students skills to enter technology fields	\$
5.	Provide professional development programs to CTE teachers, counselors and administrators.	\$
6.	Develop and implement evaluations of the CTE programs carried out with Perkins funds, including an assessment of how the needs of special populations are being met.	\$
7.	Initiate, improve, expand and modernize quality CTE programs, including relevant technology	\$
8.	Provide services and activities that are of sufficient, size, scope and quality to be effective.	\$
9.	Provide activities to prepare CTE special populations individuals for high skill, high wage, high demand occupations	\$
Percent of estimated funds available %		\$ Total

9. **Major Effort's Evaluation:** List the quantitative evaluation methods that will be used to determine whether each Major Effort's objectives have been achieved. Examples include: evaluation procedures demonstrating the occupational skills gained by students, teacher evaluations of staff development activities and procedures used to demonstrate outcomes realized by students through improved technology.

Example:

Evaluation Measure –

Completion rates for the coming year will be compared to prior year's rates.

Outcome –

As a result of this major effort, there will be a 20 percent increase in completion rates.

10. **Major Effort staff:** List the names and titles of all persons who will be assigned to and funded by this Major Effort. Show the percent of each person's time devoted to the Major Effort. Indicate salary; do not include fringe or indirect costs.

Name	Title	Time	Salary

Attach as many pages as need to complete each Part B Major Effort. Number each page with the appropriate Major Effort's number.

STATEMENT OF ASSURANCES

Academic Year 2007-08

Perkins

Secondary Agencies; Basic Grant

All applicants assure that:

- ! Perkins funds will supplement and not supplant local expenditures and will not duplicate objects of expenditure from other sources. This assurance does not apply to funds made available under Title I used to pay for the costs of career and technical education services required in an Individualized Education Plan (IEP) developed under the Individuals with Disabilities Education Act.
- ! None of the funds expended under Perkins are being or will be used to acquire equipment (including computer software) in any instance in which such acquisition results in a direct financial benefit to any organization representing the interests of the purchasing entity or its employees or any affiliate of such an organization.
- ! Methods of administration and fiscal control are in place for proper and efficient administration and accounting of projects funded under Perkins.
- ! This application was made available for review and comment by interested parties including the appropriate administrative entity under the Workforce Investment Act and the District Office of the Office of Vocational and Educational Services for Individuals with Disabilities.
- ! The six special populations under Perkins have the same opportunity to enroll in career and technical education programs as other populations served; are provided with programs designed to enable them to meet the State levels of performance; and are not discriminated against on the basis of their status as members of the special populations.
- ! All consultants meet competency requirements and are legally eligible to receive Perkins funds.
- ! The agency complies with and activities conducted with Perkins funds will take place in accordance with: (1) Title VI of the Civil Rights Act of 1964, (2) Title IX of the Education Amendments of 1972, (3) Section 504 of the Rehabilitation Act of 1973, (4) The Age Discrimination Act of 1975, (5) the Americans with Disabilities Act, and (6) the U.S. Office for Civil Rights' *Guidelines for Eliminating Discrimination and Denial of Services in Vocational Education on the Basis of Race, Color, National Origin, Sex and Handicap*.
- ! Perkins funds will only be used to provide career and technical education programs that are of a size, scope, and quality as to bring about improvement in the quality of education offered by the recipient.
- ! Provisions are made for members of special populations in private secondary schools to participate in career and technical education programs assisted under Section 131 of Perkins.
- ! Provisions have been made in accordance with New York State Education Law (Section 4601) for the appointment of and consultation with a Local Advisory Council. The agency maintains a local advisory council that meets all appropriate Commissioner's Regulations or uses a BOCES advisory council.
- ! The career and technical education being received by students with disabilities is consistent with their Individual Education Plan (IEP).

! A written policy is in effect which provides for the suspension from school for a period of not less than one year of any student who is determined to have brought a weapon to school and the referral of such student to a criminal or juvenile justice system. Such a policy can allow the Chief Administrative Officer of the agency to modify such expulsion requirement for a student on a case-by-case basis. Students aged 16 and under must receive alternative education while suspended from regular school. The term "weapon" means a firearm as such term is defined in Section 921 of title 18, United States Code.

Chief School Officer's Certification

I hereby certify that the agency is in compliance with the assurances listed above.

Date

Signature*

Name and Title

*** Original signature required in blue ink.**

**SUMMARY OF CONSORTIUM PARTICIPATION
AND FUND USE AGREEMENT FORM**
Perkins

The Superintendent of the Consortium's fiscal agent should complete this form

Consortium Name: _____

Indicate below the names of the agencies that have agreed to participate in the consortium.

Participating Agencies

Signature of Consortium Fiscal Agent (Superintendent)

Name of Agency Acting as Fiscal Agent

CONSORTIUM PARTICIPATION AND FUND USE AGREEMENT FORM
Perkins

All agencies that have generated a Perkins formula allocation and opt to participate in a consortium must complete this form. The completed form(s) (duplicate as necessary) should be given to the Consortium's fiscal agent for transmittal to the State Education Department.

School District: _____

SED Code:

--	--	--	--	--	--	--	--	--	--	--	--

Contact Person _____

Phone # _____

This agency has elected to participate in a consortium with the agency listed below acting as the consortium's fiscal agent:

It is understood that this agency has elected to participate in the consortium and that the signing of this form constitutes an agreement with the designation of the fiscal agent for the use of funds under the provisions of Perkins.

Signature of Chief School Officer

Date

Chief School Officer's Name and Title (Print)

STATEMENT OF RECOMMENDATIONS

Perkins

List the recommendations of the Planning Group for the use of Perkins funds during the 2007-08 academic year.

The signature of the Chief School Officer (CSO) indicates that the Planning Group has been involved in the preparation of the Career and Technical Education Program Plan and this list of recommendations.

Signature of CSO

Date

Name and title of CSO (print)

STATEMENT OF SIZE AND SCOPE ASSURANCE

Perkins

For agencies that have not met size and scope, but wish to apply for funds, a detailed explanation must be provided to describe how funds will be directed to implement strategies during the 2007-08 school year to enable its CTE program(s) to meet the size and scope criteria.

The signature of the Chief School Officer (CSO) indicates that the described strategies will be enacted by the local education agency to effect size and scope for the CTE program(s):

Signature of CSO

Date

Name and title of CSO (print)

CERTIFICATION REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Non-Procurement) and Government-wide Requirements for Drug-free Workplace (Grants)." The certification shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110 --

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

Certification, p.1

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted or otherwise criminally or civilly charged by a Government entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph, (1) (b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminate for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 --

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about --

(1) The dangers of drug abuse in the workplace;

- (2) The grantee's policy of maintaining a drug-free workplace;
- (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
- (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(e) Notifying the agency, in writing, within 10 calendar days after having received notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants and Contracts Service, U.S. Department of Education, 400 Maryland Avenue, S.W. (Room 312A, GSA Regional Office Building No. 3), Washington DC 20202-4571. Notice shall include the identification number(s) of each affected grant.

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted --

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant.

Place of Performance (street address, city, county, state, zip code)

Check ☐ if there are workplaces on file that are not identified here.

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will --

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

DRUG-FREE WORKPLACE (GRANTEES WHO ARE INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 --

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants and Contracts Service, U.S. Department of Education, 400 Maryland Avenue, S.W. (Room 3124, GSA Regional Office Building No. 3), Washington DC 20202-4571. Notice shall include the identification number(s) of each affected grant.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

NAME OF APPLICANT

PR/AWARD NUMBER and/or PROJECT NAME

PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE

SIGNATURE

DATE

ED80-0013, 6/90 (Replaces ED 800-0008, 12/89; ED Form GCS-008, (Rev. 2/88); ED 80-0010, 5/90; and ED 80-0011, 5/90, which are obsolete.)

VATEA94 DOC:debarment.etc (dvm)

The New York State Education Department
Office of Curriculum and Instructional Support/*Career and Technical Education Team*
Agency Name: _____

Carl D. Perkins Career & Technical Education Improvement Act of 2006 - Performance Improvement Plan [PIP] Chart 2007-2008

Program Performance - if any of the performance standards below were not met, complete the following section. If all goals were met check here ☐

Where performance fell below State standards, describe the improvement strategies that will be employed to close the gap. New York State's assessment system under Perkins uses the Performance Indicators below. SED, using data from the Career Technical Education Data System (CTEDS), analyzes the outcomes under each of these indicators. In the left-hand column below, check (✓) those performance standards that were not met. Indicate the SED provided result(s). Briefly describe the strategies planned to meet the standard(s) under the performance indicator(s) checked. Enter each strategy in the appropriate column based on funding source, i.e., Perkins funds or other funds.

Check as appropriate (✓)	Performance Goals		Perkins Funding (reference Major Effort/s)		Other Funding	
			Improvement Strategies			
	Performance Indicator 1S1: Student attainment of challenging State established academic and career/technical skill proficiencies.					
	Academic Skills Attainment: passing percentage of Regents examinations (or pass the Regents Competency Tests if called for by the students Individual Education Plan or if offered by the secondary agency instead of the Regents exams).					
<input type="checkbox"/>	June 2005: 72.95%	June 2005 Result: %				
	Performance Indicator 1S2: Career/technical skills attainment: percentage demonstrating attainment of technical skills by attaining a course grade average of 75% for all of the courses in the CTE sequence.					
	Career/Technical Skills Attainment: passing percentage of all applicable Regents examinations (or pass the Regents Competency Tests if called for by the students Individual Education Plan or if offered by the secondary agency instead of the Regents exams).					
<input type="checkbox"/>	June 2005: 80.00%	June 2005 Result: %				
	June 2008: 82.01%					

Carl D. Perkins Career and Technical Education Improvement Act of 2006 - Performance Improvement Plan [PIP] Chart 2007-2008 (Continued)

Check as appropriate	Performance Goals		Perkins Funding (reference Major Effort/s)		Other Funding	
			Improvement Strategies			
<input checked="" type="checkbox"/>	Performance Indicator 2S1: Student attainment of a secondary school diploma or its recognized equivalent, a proficiency credential in conjunction with a secondary school diploma or a postsecondary degree or credential.					
	Completion: percentage of completers that attain a high school diploma in the year in which they are designated as program completers.					
<input type="checkbox"/>	June 2005: 96.80% June 2008: 95.00%	June 2005 Result: %				
	Performance Indicator 2S2: Student attainment of a secondary school diploma or its recognized equivalent, a proficiency credential in conjunction with a secondary school diploma or a postsecondary degree or credential.					
	Diploma Credential: percentage attaining a high school diploma in the year in which they are designated as program completers.					
<input type="checkbox"/>	June 2005: 96.80% June 2008: 95.00%	June 2005 Result: %				
	Performance Indicator 3S1: Placement in postsecondary education or advanced training, military service or employment					
	Placement: percentage placed in postsecondary education or advanced training, employment or in the military					
<input type="checkbox"/>	June 2004: 93.65% June 2008: 95.00%	June 2005 Result: %				

Carl D. Perkins Career and Technical Education Improvement Act of 2006 - Performance Improvement Plan [PIP] Chart 2007-2008 (Continued)				
Check as appropriate (S)	Performance Goals		Perkins Funding (reference Major Effort/s)	State/Local/Other Funding
			Improvement Strategies	
	Performance Indicator 4S1: Student participation in CTE programs that lead to non-traditional training and employment.			
	Non-traditional Participation: percentage of all participants in selected programs, as identified by SED, that are members of the non-traditional gender for the selected program			
<input type="checkbox"/>	June 2005: 27.50% June 2008: 28.09%	June 2005 Result: %		
	Performance Indicator 4S2: Student completion of CTE programs that lead to non-traditional training and employment.			
	Non-traditional Completion: percentage of all completers of selected programs, as identified by SED, that are members of the non-traditional gender for the selected program			
<input type="checkbox"/>	June 2005: 22.50% June 2008: 20.74%	June 2005 Result: %		

-- Use additional forms if necessary --

PIP Chart, p. 2

Review Sheet for Perkins: July 1, 2007-June 30, 2008

Agency: _____

Planning requirements for CTEPP:

	Contents	Yes	No
1	Described how the academic and technical skills of students participating in CTE programs will be improved by strengthening the academic and CTE components of such programs through a coherent sequence of courses that integrate and ensure learning in the core academic and CTE subjects.		
2	Described CTE activities will meet state and local adjusted levels of performance		
3	Described how the agency will offer at least one program of study; improve the academic and technical skills of CTE students through integration, provide students with strong experience in, and understanding of, all aspects of an industry; ensure that CTE students are taught to the same coherent and rigorous content as are taught to all other students.		
4	Described how comprehensive professional development (including initial teacher preparation) for CTE, academic, guidance, and administrative personnel is provided.		
5	Describe how a wide variety of stakeholders are involved in the development, implementation and evaluation of CTE programs, & how such individuals and entities are informed about CTE programs		
6	Provide assurances that programs are of such size, scope and quality to bring about improvement in the quality of CTE		
7	Describe the process that will be used to evaluate and continuously improve performance		
8	Describe how the agency will review CTE programs, identify and adopt strategies to overcome barriers that result in lower access or success for special populations, provide programs that enable special populations to meet local performance levels, and provide activities to prepare special populations for high skill, high wage, high demand occupations that will lead to self-sufficiency		
9.	Describe how individuals who are members of special populations will not be discriminated against based on this status		
10	Describe how funds will be used to promote preparation for nontraditional fields		
11	Describe how career guidance and academic counseling will be provided to CTE students, including linkages to future education and training opportunities		
12	Described efforts to improve the recruitment and retention of CTE teachers, faculty, and career guidance and academic counselors, including underrepresented groups, and the transition to teaching from business and industry.		

Application Package

Contents	Yes	No	If No - Date When Received
CTEPP plus transmittal letter			
Grant Information Form – Part A			
Grant Information Form – Part B (one for each Major Effort)			
Budget Form (FS-10)			
Statement of Assurances			
Consortium Participation and Fund Use Agreement Form			
Summary of Consortium Participation and Fund Use Agreement Form			
Statement of Recommendations			
Statement of Size and Scope Assurance, if applicable			
Certification Regarding Lobbying, Debarment, Suspension, etc.			
MOU with LWIB (adult formula applications only)			
Performance Improvement Plan (PIP) chart			
This Review Sheet			

	Rules	Yes	No
1.	60 percent of the funds were used to carry out one or more of the mandated activities		
2.	Mandated Activity #6: Develop and implement evaluations of the CTE programs carried out with Perkins funds, including an assessment of how the needs of special populations are being met.		
3.	Agencies with SINI / SURR schools - 15 percent or more expended at the SINI / SURR school		

For each Major Effort, complete the following. Make a copy of this section for each Major Effort.

Major Effort # _____ of _____ Title: _____

	Description	Yes	Estimated \$ Am't
a.	The need for this Major Effort		NA
b.	The relationship of this Major Effort to the agency's CTEPP		NA
c.	The objectives of this Major Effort		NA
d.	The core services and administrative support for the One-Stop (if applicable)		NA
e.	The activities to achieve the objectives		NA
f.	The size, scope, and quality of this Major Effort's activities and their relationship to the objectives		NA
g.	The coordination with external agencies		NA
h.	The timeline for this Major Effort		NA
Mandated Activities			*****
1.	Strengthen the academic and career & technical skills of students participating in CTE programs through integration		\$
2.	Link secondary and postsecondary CTE education, including by offering at least one program of study		\$
3.	Provide students with strong experience in and understanding of all aspects of an industry, including work-based learning		\$
4.	Develop, improve, or expand the use of technology in CTE		\$
5.	Provide professional development programs to teachers, counselors, and administrators		\$
6.	Develop and implement evaluations of the CTE programs carried out with Perkins funds, including an assessment of how the needs of special populations are being met		\$
7.	Initiate, improve, expand, and modernize quality CTE programs		\$
8.	Provide services and activities that are of sufficient, size, scope, and quality to be effective		\$
9.	Provide activities to prepare special populations individuals for high skill, high wage, high demand occupations that will lead to self-sufficiency		\$

***** The **Final Narrative** will require the exact amount spent on each of these mandated activities.

ATTACHMENT B

2007-2008

CARL D. PERKINS

CAREER AND

TECHNICAL

EDUCATION ACT

OF 2006

(PERKINS IV)

Postsecondary
Formula Allocation Funding

(Fiscal Year 2008)

THE
UNIVERSITY
OF THE
STATE
OF
NEW YORK

THE STATE
EDUCATION
DEPARTMENT



**Guidelines and Application Materials for Non-Competitive
Proposals**

Due: Postmarked by May 18, 2007

THE UNIVERSITY OF THE STATE OF NEW YORK

Regents of The University

ROBERT M. BENNETT, <i>Chancellor</i> , B.A., M.S.	Tonawanda
MERRYL H. TISCH, <i>Vice Chancellor</i> , B.A., M.A., Ed.D.	New York
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President of The University and Commissioner of Education

RICHARD P. MILLS

Senior Deputy Commissioner of Education: P-16

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Associate Commissioner, Office of Higher Education

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Office of K-16 Initiatives and Access Programs

STANLEY S. HANSEN, JR.

Unit Manager

Collegiate Development Programs Unit

JAMES A. DONSBACH

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PREPARING PERKINS IV FORMULA ALLOCATION APPLICATIONS FOR FISCAL YEAR 2007-08

A. INTRODUCTION

The Bulletin of The Statewide Plan for Higher Education 2004-2012 sets forth the Board of Regents goals and objectives for the coordinated system of higher education in New York. The Statewide Plan focuses on major issues affecting the role of higher education in New York State and its service to its residents, workforce, and community. The Statewide Plan is coordinated with the goals and objectives set forth in the Board of Regents P-16 Action Plan. In their respective institutional plans, higher education institutions are asked to describe, consistent with their mission, "...how they collaborate with businesses and other organizations to identify issues that higher education can address through new research initiatives or preparation of a workforce with new knowledge and skills, and to devise effective ways to address those needs individually and in networks, thus advancing development of intellectual capital, the economy, and related needs of New York." This focus complements the **purpose of the Carl D. Perkins Career and Technical Education Act of 2006** (Perkins IV): "...to develop more fully the academic, and career and technical skills of secondary education students and postsecondary education students who elect to enroll in career and technical education programs, by:

- Building on the efforts of States and localities to develop challenging academic and technical standards and to assist students in meeting such standards, including preparation for high skill, high wage, or high demand occupations in current or emerging professions;
- Promoting the development of services and activities that integrate rigorous and challenging academic and career and technical instruction, and that link secondary education and postsecondary education for participating career and technical education students;
- Increasing State and local flexibility in providing services and activities designed to develop, implement, and improve career and technical education, including tech prep education;
- Conducting and disseminating national research and disseminating information on best practices that improve career and technical education programs, services, and activities;
- Providing technical assistance that:
 - Promotes leadership, initial preparation, and professional development at the State and local levels; and
 - Improves the quality of career and technical education teachers, faculty, administrators, and counselors;
- Supporting partnerships among secondary schools, postsecondary institutions, baccalaureate degree granting institutions, area career and technical education schools, local workforce investment boards, business and industry, and intermediaries; and
- Providing individuals with opportunities throughout their lifetimes to develop, in conjunction with other education and training programs, the knowledge and skills needed to keep the United States competitive."

The focus of The Statewide Plan, the P-16 Action Plan and the purpose of the Act combine in challenging institutions to improve existing collaborations and thus advance the educational and economic needs of the State and its residents.

B. REGENTS PRIORITIES FOR THE HIGHER EDUCATION SYSTEM

The following priorities in the Regents Statewide Plan for Higher Education 2004-2012 relate to the overall purpose of Perkins III. Institutional applications for noncompetitive funding should reflect these priorities to the extent that doing so would be consistent with institutional mission and the Perkins IV requirements.

Maximizing Success for all Higher Education Students:

Assuring High Educational Quality

- All students will attain the knowledge, skills, and ethical grounding to responsibly contribute to society and success in the workplace.
- All students will attain progressively advanced levels of knowledge and the ability to apply that knowledge effectively to problem solving in their field and in new areas of study. They will develop global consciousness and adapt to changing environments and conditions.
- All students will be provided higher education opportunity through distance education, in light of the State Education Department's "Principles of Good Practice for Distance Higher Education."

Improving Articulation

- All students will be assisted in their progress towards a degree through improved educational programs and services, accomplished through articulation between higher education institutions including undergraduate and graduate colleges across public, independent, and proprietary sectors.

Closing Performance Gaps

- Student retention and academic success will improve, based on comprehensive programs and strategies that focus on performance gaps due to economic status, ethnicity, race or gender.

Supporting Students with Disabilities

- Students with disabilities will have improved higher education access and success, through the provision of appropriate assistive technology, counseling, and support personnel, as well as faculty training.

Smooth Transition from PreK-12 to Higher Education:

Preparing Students for Entry into Higher Education

- All students who are preparing for entry into higher education will benefit from comprehensive programs and strategies that ensure the knowledge and skills necessary for competitive entry into higher education.

Providing Information and Assistance about Higher Education

- All students and their families will have clear and understandable information that assures access and success in future college study.

Qualified Professionals for Every Community throughout the State:

An Adequate Supply of Qualified Professionals

- Professional practitioners and the communities they serve will be engaged to identify emerging workforce needs and devise education strategies to meet those needs.
- Students representing diverse backgrounds will be recruited, prepared and supported for professional licensing preparation programs, for which workforce shortages are imminent.
- All students enrolled in professional preparation programs will enhance knowledge and skills through applied practice opportunities, particularly in fields that reflect dynamic technological advances.

C. ELIGIBLE AGENCIES

The State Education Department (SED) awards grants to degree-granting institutions and Educational Opportunity Centers (EOCs) that offer career and technical education below the baccalaureate level and generate \$50,000 or more in postsecondary/adult formula funds, or to postsecondary institutions participating in consortia that meet the \$50,000 minimum grant requirement and offer collaborative career and technical education programs that will be of sufficient size, scope, and quality to be effective. The Department uses Congressionally prescribed formulas to allocate funds based on the population served.

D. TRANSITION PLAN

A Transition Plan must be submitted under separate cover. This Transition Plan is for the period 2007-08 year under Perkins IV. The Transition Plan includes the requirements described in the separate Guide for the Development of Local Transition Plans for Career and Technical Education Programs Offered by Institutions Participating in Title I of the Carl D. Perkins Career and Technical Education Act of 2006 (Perkins IV).

E. PROGRAM DESCRIPTIONS

The purpose of Perkins IV is to provide basic grants to **improve the quality of career and technical education** for career and technical education students at degree granting institutions and EOCs.

1. Postsecondary Credit Programs. For postsecondary credit programs, the purpose is twofold: (1) to provide students with academic, career and technical knowledge needed to prepare for further education beyond a two-year associate degree and (2) for a career in current or emerging employment areas. The basic grant application should describe how the institution

will ensure that this education will include competency-based applied learning techniques that contribute to the academic knowledge, higher-order reasoning and problem-solving skills, work attitudes, general employability skills, technical skills, and occupation-specific skills of an individual. The application also should describe how the program integrates academic and career and technical education through a coherent sequence of courses so students achieve academic, career and technical competencies.

2. Adult Noncredit Vocational and Technical Education Programs. The purpose for adult noncredit career and technical education programs is to prepare students for employment. Institutions receiving funds should describe how the institution will provide a program that integrates academic and career and technical education through a coherent sequence of courses. SED encourages articulation of adult noncredit career and technical education programs with related secondary and/or postsecondary curricula. Other adult programs, such as basic skills, bilingual or ESL, life management, and the **General Educational Development Program (GED)** may be funded **only** if they are offered in **integrated curricula** with career and technical education programs. Local job developers and placement coordinators working for other clients and supported by other funding sources should be identified and, if possible, used to provide the same services for Perkins III clients.

3. External Coordination. The application should describe how the institution will coordinate services with community-based organizations (CBOs), local employment and training activities, and activities connected with implementation of the Local One-Stop delivery system to avoid duplication of services and to expand the range and accessibility of services.

F. THE APPLICATION

This section describes the application materials and instructions applicable to all institutions seeking funding. The annual application must reflect the institution's **Transition Plan** (submitted under separate cover) and carefully relate proposal objectives, major efforts, major effort objectives and activities, and proposed expenditures to the plan.

Each application must include an original and two copies. The application must be complete and in the order given below. Please number sections sequentially. Begin each section on a new page.

- 1. Grant Information Form, Part A** (Part A of Form VTEA-PS-1, page 33) is to be used as the cover page of the application.
- 2. Abstract:** The Abstract consists of a summary paragraph of each Major Effort. These **brief** paragraphs (not to exceed 10 lines) should consist of a summary of the needs statement, the objectives and activities designed to address these needs, and the projected outcome of the Effort. Each summary paragraph **must** be submitted on the Major Effort Abstract form that will be e-mailed to the applicant at the time the Guidelines are made available. The applicant must complete a separate form for each Major Effort, and each form should be saved as a **Word** file and named accordingly: institution followed by Major Effort number. The completed forms must be e-mailed to mgroat@mail.nysed.gov at the time the application is mailed to the State Education Department. In addition, the applicant must include a hard copy of the forms with the application.

- 3. Support of One-Stop Delivery System:** The Carl D. Perkins Career and Technical Education Act and the Workforce Investment Act require all Perkins postsecondary grantees to use a portion of their allocated funds to support their local One-Stop delivery system. Perkins grantees must provide information concerning the status of partnership with the Local Workforce Investment Board to support the local One-Stop delivery system, according to the following conditions:
- a. **No formal Memorandum of Understanding (MOU) has been negotiated with the Local Workforce Investment Board.** Briefly describe the status of negotiations with the Local Workforce Investment Board including a description of barriers that are preventing the development of an MOU. (Contact persons for each Local Workforce Investment Area are listed at: <http://www.workforcenewyork.org/lwiacontacts.htm>).
 - b. **A formal MOU has been negotiated with the Local Workforce Investment Board.**
 - Indicate that an MOU has been formalized and that a copy is enclosed with the 2007-08 Perkins application. This may be newly negotiated or may be the most recent MOU to which partners have agreed.
 - Indicate that the MOU discussed the use of Perkins grant funds to support the local One-Stop delivery system (This use of Perkins grant funds must follow the options described in Section 6.c. of these Guidelines.)
- 4. Local Advisory Council** annual report, including the following information:
- a. A Local Advisory Council Membership List (Form VTEA-PS-4, page 42). Be certain to include the complete mailing addresses of each member as requested on the form. **Note the recommendation to include a Tech-Prep site coordinator.**
 - b. Copies of the minutes of ALL Local Advisory Council meetings that have been held during the year prior to development of the proposal, including the Local Improvement Plan. These minutes must document the Council's involvement in the development of the Local Improvement Plan (if required), and proposed major effort activities.
- 5. Local Improvement Plan (LIP).** The need for the LIP is based on a comparison of each institution's most recent performance measures reports (VTEA-1 and VTEA-2) to the statewide accountability standards, and a LIP is required whenever an institution fails to meet those standards. The Local Improvement Plan must include specific actions or strategies to improve performance of career and technical education students, including those who are members of special populations; a timeline for implementation of those actions/strategies; and evidence of the Local Advisory Council's input in its development. The application must clearly demonstrate the relationship between Major Effort activities and the Plan's specific actions or strategies to improve performance. The Local Improvement Plan should focus on the most recent performance reports that the institution has received from the State Education Department. If a Local Improvement Plan is not required, please state that this item is **"Not Applicable."**

6. Major Effort Description for FY '08 [Grant Information Form, Part B, Major Effort Data (Part B of Form VTEA-PS-1, pages 34-36)]. It must include information on how the institution will address all eight required activities across all its Major Efforts.

a. **Nine Mandated Activities.** Under Section 135 (b) of Perkins IV, during 2007-08, institutions **shall** use Perkins IV non-competitive formula funds to support one or more of the following nine activities:

(1) Strengthen the Academic, Career and Technical Skills of Students

- "Strengthen the academic and career and technical skills of students participating in career and technical education programs, by strengthening the academic and career and technical education components of such programs through the integration of academics with career and technical education programs through a coherent sequence of courses such as career and technical programs of study.";

(2) Link Career and Technical Education at the Secondary Level and Career and Technical Education at the Postsecondary Level;

(3) Provide Students with Strong Experience In and Understanding Of All Aspects of an Industry, which may include

- "work-based learning experiences";

(4) Develop, Improve, or Expand the Use of Technology in Career and Technical Education, which may include:

- "training of career and technical education teachers, faculty, and administrators to use technology, which may include distance learning;
- "providing career and technical education students with the academic and career and technical skills (including the mathematics and science knowledge that provides a strong basis for such skills) that lead to entry into the technology fields; or
- "encouraging schools to collaborate with technology industries to offer voluntary internships and mentoring programs";

(5) Provide Professional Development Programs to Teachers, Counselors, and Administrators, including:

- "inservice and pre-service training in effective integration and use of challenging academic and career and technical education provided jointly with academic teachers to the extent practicable, effective teaching skills based on research, and in effective practices to improve parental and community involvement and effective use of scientifically based research and data to improve instruction;
- "support of education programs for teachers of career and technical education in public schools and other public school personnel who are involved in the direct

delivery of educational services to career and technical education students, to ensure that such teachers and personnel stay current with all aspects of an industry;

- "internship programs that provide relevant business experience; and
- "programs designed to train teachers specifically in the effective use and application of technology to improve instruction";

(6) Develop and Implement Evaluations of Career Education Programs

"Develop and implement evaluations of the career and technical education programs carried out with non-competitive formula grant funds, including an assessment of how the needs of special populations are being met";

(7) Initiate, Improve, Expand, and Modernize Quality Career and Technical Education Programs;

(8) Provide Services and Activities that are of Sufficient Size, Scope, and Quality to Be Effective; and

(9) Provide Activities to Prepare Special Populations, including Single Parents and Displaced Homemakers who are Enrolled in Career and Technical Education Programs, for High Skill, High Wage, or High Demand Occupations that will lead to Self Sufficiency.

- b. **Adult Noncredit Efforts.** Major efforts addressing adult noncredit programs must emphasize employment preparation and include proposed **quantitative** evaluations that will document skill attainment and placement.
- c. **Support of Local One-Stop Delivery System.** The Carl D. Perkins Act and the Workforce Investment Act require all Perkins postsecondary grantees to negotiate a Memorandum of Understanding (MOU) with the Local Workforce Investment Board regarding the use of Perkins funds to support their local One-Stop delivery system. This MOU must indicate how core services costs **and** administrative costs will be supported for the local One-Stop delivery system. If finalized, one copy of the most recently negotiated MOU must be submitted with the Perkins 2007-08 application.

If an MOU has been negotiated, the Perkins 2007-08 application must describe specific use of Perkins grant funds for supporting the local One-Stop delivery system. Options for describing this support include:

- Developing a separate major effort to describe the use of Perkins funds for core services (e.g., intake, assessment and supportive services) and for administrative costs.
- Reflecting the use of Perkins funds for core services and administrative costs in multiple major efforts. Items entered in multiple major efforts must be clearly labeled as related to One-Stop support.

Note: Since the Perkins Act has a five percent limit on amounts used for administering the Perkins grant, any administrative support for a One-Stop must come from within this five percent amount.

Additional information regarding Perkins postsecondary grantee responsibilities for supporting One-Stop delivery system applicable core services and administrative costs can be found in Section J, (page 31).

- d. **Grant Information Form (VTEA-PS-1), Part B, pages 34-36.** A completed copy of Grant Information Form, Part B must be submitted for **each** Major Effort for which funding is sought. Number each Part B consecutively. Provide a **data-based** narrative description of the major effort that includes:

- (1) An adequate description of the major effort's need and scope; the objectives of the major effort; the activities that will take place in order to achieve the objectives; the anticipated accomplishments, stated in quantified terms; coordination with agencies, organizations, and programs external to the institution, as appropriate; timelines; staffing; and quantitative measures to be used to evaluate achievement. **ALL MAJOR EFFORTS MUST INCLUDE ACTIVITIES DIRECTLY INVOLVING STUDENTS WITHIN THE GRANT YEAR SO THAT THEIR EFFECTIVENESS CAN BE EVALUATED.**

Note: An **objective** is broader than a specific activity. It is a statement of a specific end that, if achieved, will support one or more program goals. It (1) is stated in **quantifiable** terms, (2) specifies a date or time period for its achievement, and (3) indicates the resources needed to achieve it in that time period. A Major Effort's **activities** are specific courses of action to achieve one or more of the Major Effort's objectives in the time period specified.

- (2) Evidence, including current curricula vitae and resumes, that proposed staff and/or consultants funded under Perkins IV will be qualified to undertake the activities proposed. This should be included with the appropriate Major Effort description.
- (3) For those institutions that have been required to develop a Local Improvement Plan, Major Effort description(s) that clearly demonstrate a relationship between Major Effort activities and the "specific actions to improve performance" included in that Plan.

All degree and credit-bearing certificate programs supported by Perkins IV funds must be registered by the State Education Department as meeting the quality standards in the Regulations of the Commissioner of Education. Evidence of registration is a copy of the Department's registration letter for the program or its inclusion in the current Inventory of Registered Programs at the institution. The Institutional Profile, which is to be submitted electronically and separate from this application, provides information about size and scope of major efforts.

Distance education and learning must reflect the quality practices and capability, as described on the State Education Department web site:
<http://web1.nysed.gov/ocue/distance/>

Grant applications that include major effort activities for the delivery of distance education and learning must acknowledge that an Institutional Capability Review Application has been submitted to the State Education Department as evidence of quality commitment in distance education and learning.

- e. **Permissible Activities, Programs and Services, and Expenditures.** The Perkins IV major efforts that each institution designs to meet the requirements above should address the needs of students and make use of resources already available. Eligible institutions must work cooperatively with approved One-Stop delivery systems; local providers of education, training, and services; and community-based organizations (CBOs) to offer integrated service systems to special populations, avoid duplication of services, and expand the range and accessibility of services. Also, Local Advisory Council advice must be sought in planning programs and services. SED expects activities to vary widely within these parameters.

- (1) The following are examples of **activities, programs, and services** that are allowable under Perkins IV:

- Access to computer labs where CTE students can practice the skills necessary for employment;
- Accommodation and support services for career and technical education students with disabilities;
- Assessment, advisement, guidance, job development, and placement services for members of special populations in CTE programs;
- Contextualized learning, supplemental instruction, and collaborative learning and study groups to augment classroom instruction and increase the probability of continued success for at-risk CTE students;
- Counseling and intervention strategies and support services to provide greater assistance to economically disadvantaged CTE students;
- Educational resource centers for the remediation and development of the basic skills needed for success, **when incorporated into a matriculated student's career and technical education program**;
- Emphasis on those curricula preparing CTE students for high-skill, high-wage occupations;
- Expanded cooperative education programs, internships, and other work-experience arrangements;
- Institutional collaboration with organized labor and business and industrial organizations;
- Instruction in English for speakers of other languages and bilingual instruction for limited-English-proficient youth and adults, **when incorporated into a matriculated student's career and technical education program**;
- Intensified curriculum and staff development activities to upgrade career and technical education programs and enhance instructional techniques in such programs;
- **Opportunities for participation in Tech-Prep consortia**;
- Training in nontraditional, high-wage, high-skill occupations for single parents, displaced homemakers, and others;
- Training programs integrating career and technical and academic instruction for unemployed and underemployed adults; and

- Updating/upgrading equipment to support high-tech programs in such areas as computer graphics, allied health, computer information systems, engineering technologies, telecommunications, and word processing and office skills.
- (2) **Allowable expenditures.** The general guide is that the expenditure contributes to student achievement in career and technical education programs. Major Effort descriptions must delineate how the activities and expenditures will improve career and technical student achievement [see F.6.e.(1), above]. Examples of allowable expenditures include the following:
- Child care subsidies for children of students matriculated in career and technical education programs;
 - Computer software;
 - Equipment (including computers) acquisition, installation, repair, and maintenance;
 - Instructional supplies and materials;
 - Supplemental staff, including instructors, technicians, aides, tutors, signers, note takers, and interpreters for special population CTE students;
 - Other supplemental services to improve access to career and technical education programs and services, including curriculum modification, equipment modification, classroom modification, and instructional aids and devices;
 - Testing materials;
 - Travel in the United States that is specifically related to the major effort objectives and activities; and
 - A maximum of five percent of the funds for administrative costs. (See **Administrative Cost Policy** below.)
- (3) **Administrative Cost Policy.** Perkins IV Section 135(d), requires that an institution receiving funds use no more than five percent of such funds for administrative costs. Such costs are subject to the following definitions and restrictions:
- i. Indirect cost is considered part of administrative cost and is included in the five-percent maximum. Agencies having an approved indirect cost rate greater than five percent are limited to five percent for this program, including any direct charges that are determined to be administrative costs.
 - ii. All staff positions and activities not directly related to a specific major effort will be considered as an administrative cost.
 - iii. Any leadership activities, including general curriculum development and implementation, and general staff inservice training or staff development must be designated as administrative cost.
 - iv. Certain direct costs, including staff salaries and activities related to the successful operation of a project, are not considered as administrative cost. For example, the cost of modifying curricula to serve students in a particular project is not considered an administrative cost.
- (4) **Examples of Expenditures that are Not Allowable.** Expenditures that are not allowable include:

- Acquisition of equipment for administrative or personal use.
 - Acquisition of furniture (e.g., bookcases, chairs, desks, file cabinets, tables) unless an integral part of an equipment workstation or to provide reasonable accommodations to career and technical education students with disabilities.
 - Food services/refreshments/banquets/meals.
 - Remodeling not directly connected to accessibility to career and technical education instruction, or services, or to the use or installation of project-purchased equipment.
 - Payment for memberships in professional organizations.
 - Prevocational educational activities.
 - Purchase of promotional favors, such as bumper stickers, pencils, pens, or T-shirts.
 - Subscriptions to journals or magazines.
 - Travel outside the United States.
 - Any expenditure for students **not** enrolled in career and technical education programs, including career exploration.
7. A **Management Plan** describing how the institution will monitor the progress of projects, including the names and titles of persons responsible for each major effort, the person responsible for overall coordination of funded activities, and the names of the persons responsible for monitoring program activities, services for special populations, fiscal activities, program outcomes, and participation in the local One-Stop delivery system.
8. **Institutional Profile.** The Institutional Profile is to be sent by the applicant to the State Education Department electronically and is to be completed as an Excel file. Instructions for completing the file will be sent to the applicant electronically under separate cover. If the applicant does not receive it, please contact **Mary Groat at marygroat@mail.nysed.gov** (518) 474-5313 **immediately**.
9. **Statement of Assurances and Federal Compliance Certification forms** [VTEA-PS-2 and VTEA-PS-3], pages 37-40. The application must include executed copies of both forms, with at least one --- designated **in red ink**, "Original Signature Copy" -- bearing the original signature, **in blue ink**, of the institution's chief executive officer or authorized designee.
10. A **Proposed Budget**, including the following:
- a. Budget notes that explain or justify budgetary items of an unusual nature or that need clarification and, if more than one major effort is to be funded, clear numerical references to each major effort against which the items in each budget category will be levied.
 - b. Spreadsheet of **Proposed Type of Expenditure by Major Effort** (Appendix 1, page 44)
 - c. **Proposed Budget for a Federal or State Project** (Form FS-10). **Only the form or a computer-generated facsimile labeled "Proposed Budget for a Federal or State Project, FS-10 (01/05)" is allowable for submission.** A current copy of the FS-10 can be found at <http://www.oms.nysed.gov/café/fs10.doc>. This form is so identified on the upper right hand corner of its cover page. This must be a single form that includes

all proposed expenditures for all major efforts to be funded. One copy must be marked, **in red ink**, "Original Signature Copy" and bear the original signature, **in blue ink**, of the applicant's chief executive officer or designee. All columns and lines on the form must be completed so that calculations for salaries, fringe benefits, and indirect costs may be verified. Lists of proposed acquisition of supplies and equipment **must** include unit prices. The proposed budgets for each major effort must be itemized under the applicable budget categories and cross-referenced to that major effort's number.

In the Budget, round proposed expenditures to the nearest dollar. **Do not round upwards from that amount.** Sufficient detail is required for each budget category to allow reviewers to understand how the requested figure was calculated. When there is insufficient room on the budget form, you may provide additional information in Budget Notes, which you should append to the FS-10.

Budget Categories (as listed on Form FS-10):

- (1) **Code 15 - Salaries for Professional Staff.** Be sure that the only personnel included here are professional and are employees of the fiscal agent. **It is essential** to identify the portion of a full-time equivalent (FTE) represented by each person and the rate of pay. The pay rate should be consistent with the institution's contractual pay rate for a given position. If additional information is required to explain the category, it should be included in the Budget Notes. When release time is given to full-time faculty for grant activities, the grant may be charged for the cost of part-time replacements. Do not include here persons who are not employees of the fiscal agent. Fee paid for services by employees of members of a consortium **other than the fiscal agent** must be listed under Code 40, Purchased Services.
- (2) **Code 16 - Salaries for Support Staff.** Only non-instructional employees of the fiscal agent should be listed. These may include secretarial staff, tutors, laboratory assistants, technicians, and other non-instructional staff. Do not include persons who are not employees of the fiscal agent here, including employees of members of a consortium other than the fiscal agent. Fees for services purchased from such persons must be listed under Code 40, Purchased Services.
- (3) **Code 40 - Purchased Services.** This category will normally include all services to be purchased **outside** the institution serving as fiscal agent, including rentals, equipment repairs, and consultant and vendor services. Neither the fiscal agent nor an employee of the fiscal agent should be identified as a provider of purchased services. Such employees always should be listed under Code 15 or Code 16, as appropriate. Fees for services provided by employees of the members of a consortium other than the fiscal agent must be included under this code. Please do not use the word, "tuition," for fees for staff development contracted with external agencies. Fees for services by individuals are not "stipends" or "honoraria"; please do not use those terms for such fees. Do not include conference registration fees and similar costs of conference attendance here; include them under Travel Expenses (Code 46). Contact your liaison for specific information.
- (4) **Code 45 - Supplies and Materials.** This category covers both expendable supplies like paper and printer cartridges and instructional materials like books and manuals

that cost less than **\$5,000** per unit. Since the "Equipment" category includes only items with a unit cost in excess of **\$5,000**, some computer equipment and software will be included as supplies. Lump sum requests for supplies will not be honored. Unit costs and quantities must be provided. Provide sufficient detail to permit the reviewer to judge the appropriateness of the quantity and unit cost of supplies requested.

- (5) **Code 46 - Travel Expenses.** All allowable travel must be included under this code. Only those travel expenses directly related to the operation of the program are allowed. Dates of travel and estimated costs for meals, lodging and the mode of transportation must be included. For all travel, show how the figures were calculated: mileage, lodging, registration fees for conferences, meals, number of trips, and so forth.
- (6) **Code 80 - Employee Benefits.** It is not necessary to identify each amount or percentage for the individual components of fringe benefits but it **is** necessary to indicate the **composite fringe rate** for full and part-time employees.
- (7) **Code 90 - Indirect Cost (Optional).** Indirect cost represents money generated by a fixed percentage (currently five percent) of all expenditures in the budget **except equipment (Code 20), minor remodeling (Code 30), stipends, honoraria, tuition, and the amount of individual contracts exceeding \$25,000.** These funds can be used to defray costs not otherwise allowed in specific budget categories like heat, electricity, or janitorial services.
- (8) **Code 30 - Minor Remodeling.** This category is restricted to renovations designed to improve physical access to a career program by students or staff with disabilities, and to the use or installation of project-purchased equipment.
- (9) **Code 20 - Equipment.** To improve communication with your liaison during the proposal review and simplify processing of the final fiscal claim, these general rules should be followed:
 - i. Number all requested items of equipment sequentially.
 - ii. Identify the number of units requested **and the unit cost.** Even if a package price has been negotiated, provide a breakdown of component prices on the FS-10.
 - iii. Bid each equipment item "installed and operational." ("Operational" means at the workstation and connected to electrical and/or other needed services.) **Funds for equipment not installed and operational on February 15, 2008, will lapse on that date.**
 - iv. Use the phrase, "or the equivalent," when specifying models or manufacturers to allow you to purchase an alternative item from a vendor without prior approval.
 - v. List **all** items with a unit price of **\$5,000** or more in this category, including software.

Cross-Reference. On the FS-10, provide a cross-reference between major effort number and the items listed. For example, if Code 15, Salaries for Professional Staff, on the FS-10 lists five persons, each item should have a parenthetical

number corresponding to the Major Effort number (from the Grant Information Form, Part B) to which the person is assigned.

Budget Summary. This is the FS-10's final page. Check all of its sub-totals against those in the budget. Be sure that the major effort totals on Grant Information Form, Part B, add up to the total on this page. Check the addition for both the sub-totals and grand total. Be sure the chief executive officer or official designee has signed it in blue ink.

Included in these Guidelines is the review sheet (pages 19-24) that is used by SED liaisons to approve your application. Please refer to this review sheet to assure that your application contains the appropriate content, prior to submission to SED.

G. PACKAGING THE APPLICATION

1. Each project application package must include one original set of required materials labeled **"ORIGINAL" in large red letters** in the upper right hand corner and containing the **original signature in blue ink** of the chief executive officer (CEO) or their designee, plus two copies of the complete set. Please be sure that the two copies are not labeled "Original Signature." Do not bind the application. All pages are to be numbered consecutively. **MAIL THE APPLICATION TO:**

**Collegiate Development Programs Unit
New York State Education Department
Education Building Addition, Room 1071
Albany, NY 12234.**

All applications must be postmarked by May 18, 2007.

DO NOT SEND THE PROPOSAL OR THE FS-10 TO SED's GRANTS FINANCE UNIT.

2. Each **institution** must make its complete application available for review by the appropriate **Local Workforce Investment Board** (see section I, page 31) and to the **local office of the State Education Department's Office of Vocational and Educational Services for Individuals with Disabilities (VESID)** by sending copies directly to them at the same time that it submits the application to the Department. This will assist in coordination of career and technical education with job training and the provision of vocational and technical and educational services to persons with disabilities. Institutions may obtain names and addresses from the Department of Labor website <http://www.workforcenewyork.org/onestops.htm> or from the VESID Website <http://www.vesid.nysed.gov/do/locations.htm>

3. All **State University of New York campuses and community colleges** must send one copy to:

**Office of the Provost and
Vice Chancellor for Academic Affairs
State University of New York
State University Plaza
Albany, NY 12246**

4. All **colleges of The City University of New York** must send one copy directly to:

Office of Academic Affairs
The City University of New York
535 East 80th Street, Room 618
New York, NY 10021-0795

5. All **Educational Opportunity Centers (EOCs)** must send one copy directly to:

University Center for Academic and Workforce Development
State University of New York
1 Steuben Place, 4th Floor
Albany, NY 12207-2106

H. PERKINS IV APPLICATION REVIEW SHEET FOR POSTSECONDARY INSTITUTIONS

Institution/Consortium Name: _____

Application Number: 8000-08-_____

Supervisor Review: _____
Initials

Reviewer's Signature: _____

Status: _____ **Approve without further information Date:** _____

_____ **Approve with additional information Date:** _____

1. APPLICATION PACKAGE CHECKLIST

Contents	Yes	No	If No...When Received
Grant Information Form – Part A			
Abstract			
One-stop support			
Local Advisory Council Minutes			
Local Advisory Council Membership List			
Local Improvement Plan, as necessary			
Grant Information Form – Part B (one for each major effort)			
Management Plan			
Institutional Profile			
Statement of Assurances			
Federal Compliance Certifications			
Budget Form (FS-10)			
Appendix 1			

2. APPLICATION REVIEW

- a. POSTSECONDARY GRANT INFORMATION FORM—PART A (page 7, item F.1 of these *Guidelines*.)

A completed Postsecondary Grant Information Form

Y___ N___

Acceptable additional information received:

- b. ABSTRACT (page 7, item F.2 of these *Guidelines*.)

The application contains a summary paragraph not exceeding 10 lines for each Major Effort proposed.

Y___ N___

Acceptable additional information received:

- c. ONE-STOP SUPPORT (page 8, item F.3 of these *Guidelines*.)

A copy of the MOU is enclosed with the proposal.

Y___ N___ NA___

Acceptable additional information received:

- d. LOCAL ADVISORY COUNCIL (page 8, item F.4 of these *Guidelines*.)

(1) The proposal provides evidence of involvement, input, and approval of the Local Improvement Plan (if required), and proposed activities.

Y___ N___

(2) The Council's membership is representative of all groups prescribed under Perkins IV Legislation

Y___ N___

Acceptable additional information received:

e. **LOCAL IMPROVEMENT PLAN** (page 8, item F.5 of these *Guidelines*.),
if required.

(If Not Required, check here _____.)

- (1) If modifications are made to the plan, then the plan addresses student completion, retention and placement needs based on the institution's most recent Performance Measures Report, for the following cited program clusters:

Y__ N__

				<u>Non-Trad</u>	
	<u>Comp</u>	<u>Place</u>	<u>Employ Ret</u>	<u>Part</u>	<u>Comp</u>
_____	()	()	()	()	()
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_____	()	()	()	()	()
_____	()	()	()	()	()
_____	()	()	()	()	()

- (2) Specific strategies and timelines are presented.

Y__ N__

- (3) Addresses how the Institution will provide programs and/or services to help special populations meet the State levels of performance.

Y__ N__

- (4) Identifies any Major Efforts that are being proposed to meet the identified needs.

Y__ N__

If **NO** to any of the above, identify additional information required by item number and letter:

Acceptable additional information received:

f. **MAJOR EFFORT DESCRIPTION FOR FY '08** (pages 9-14, item F.6 of these *Guidelines*.)

- (1) The program description includes:

- (a) A completed Grant Information Form (Part B) (pages 34-36 of these *Guidelines*) for each major effort. Information includes adequate descriptions of:

- ♦ The need for this major effort

Y__ N__

- | | | | |
|--|-----|-----|----|
| ♦ If a Local Improvement Plan is required, the Major Effort's relationship to that Plan | Y__ | N__ | NA |
| ♦ The Major Effort's objectives (quantified where appropriate) | Y__ | N__ | |
| ♦ The core services and administrative support for the local One-Stop delivery system | Y__ | N__ | NA |
| ♦ Activities to achieve the objectives | Y__ | N__ | |
| ♦ Size, scope, and quality of the Major Effort's activities and their relationships to the objectives | Y__ | N__ | |
| ♦ Coordination with external agencies (especially workforce preparation providers) | Y__ | N__ | |
| ♦ Timelines for the Major Effort, noting significant activities, month-by-month | Y__ | N__ | |
| ♦ Reasonable and appropriate evaluation methods that will be used to track <u>quantifiable</u> student outcomes to determine whether the Major Effort's objectives have been achieved. | Y__ | N__ | |
| ♦ Includes evidence that academic programs being funded appear in the Inventory of Registered Programs. | Y__ | N__ | NA |
- (b) The institution's Major Efforts address some or all of the 9 required use of funds. Y__ N__
- (c) The Major Efforts address the student persistence (retention), completion, and placement needs, as necessary, based on the institution's Performance Measures Report. Y__ N__ NA
- (d) The Major Efforts reflect how the institution plans to provide special programs and/or services to help special populations meet State adjusted levels of performance. Y__ N__
- (e) The Major Efforts reflect the institution's plans to adopt strategies to help special populations overcome barriers to access and success in career and technical programs. Y__ N__
- (f) There is evidence the proposed project staff and/or consultants are qualified to undertake proposed activities. Y__ N__
- (2) Major Efforts addressing adult noncredit programs prepares students for employment for specific career and technical careers. Y__ N__ NA
- (3) The core services and administrative support for the local One Stop delivery system are described (if applicable) Y__ N__
- (4) Major Efforts meet Perkins IV statutory requirements and New York State goals and priorities. Y__ N__

- (a) Proposed activities or expenditures do not supplant institutional responsibilities. Y___ N___
- (b) There is evidence of institutionalization of successful long-term projects. Y___ N___ NA___
- (c) Use of Perkins IV funding is limited to students matriculated in career and technical education programs. Y___ N___

If **NO** to any of the above, identify additional information required first by item number and letter and then by Major Effort:

Acceptable additional information received:

g. MANAGEMENT PLAN (reference page 14, item F.7 of these *Guidelines*.)

The application includes a description of the institution's management plan to monitor the progress of projects, including the names and titles of persons responsible for each major effort, program activities, services for special populations, program outcomes, monitoring fiscal activities, participation in the local One-Stop delivery system, and overall coordination of funded activities and outcomes.

Y___ N___

Acceptable additional information received:

h. INSTITUTIONAL PROFILE (reference page 14, item F.8 of these *Guidelines*.)

The Institutional Profile data supports the proposed Major Efforts.

Y___ N___

If **NO**, which Major Effort(s) is not supported:

Acceptable additional information received:

i. STATEMENT OF ASSURANCES and FEDERAL COMPLIANCE
CERTIFICATIONS, 2007-2008 (reference page 14, item F.9 of these *Guidelines*.)

The application includes valid signatures, including one original signature,
on the Statement of Assurances and Certification Regarding Lobbying,
Debarment, Suspension and Other Responsibility Matters and Drug-Free
Workplace Requirements

Y___ N__

Signed Certifications Received:

j. BUDGET INFORMATION (reference pages 14-17. item F.10 of these *Guidelines*.)

(1) The following budget information is provided:

(a) Budget notes as needed.

Y___ N__

(b) Appendix 1, containing a clearly presented spreadsheet of
proposed expenditures by Major Effort.

Y___ N__

(c) An FS-10 containing adequate information about salary
calculations, unit prices for equipment, brand names and
details for all categories of expenditures.

Y___ N__

(d) All Major Effort expenditures on the FS-10 coded to match the
numbers of the corresponding Major Efforts.

Y___ N__

(e) Administrative costs that do not exceed 5% of the total funds
requested (excluding equipment, stipends, honoraria,
tuition and minor remodeling and contractual services
in excess of \$25,000).

Y___ N__

(2) The budget appears to supplement, not supplant, local efforts
and expenditures.

Y___ N__

If **NO** to any of the above, identify additional information required first by
item number and letter and then by Major Effort:

Acceptable additional information received:

I. DEFINITIONS

For the purposes of Perkins III postsecondary non-competitive applications, the following definitions apply:

Abstract is a summary paragraph, no more than 10 lines, of **each** Major Effort for which the applicant applies. It is submitted electronically to SED in a Word file and as a hard copy with the application.

Activity is a specific course of action to achieve one or more of the objectives of a project or major effort in the time period specified.

Administration includes a recipient's activities necessary for the proper and efficient performance of its duties under Perkins IV, including supervision but not including curriculum development activities, personnel development, or research activities (Perkins IV, section 3, paragraph 1).

Career and Technical Education is defined as organized educational activities that:

- (1) offer a sequence of courses (as defined by the Education Commissioner's Rules and Regulations) that:
 - (a) provides individuals with coherent and rigorous content aligned with challenging academic standards and relevant technical knowledge and skills needed to prepare for further education and careers in current or emerging professions;
 - (b) provides technical skill proficiency, an industry-recognized credential, a certificate, or an associate degree; and
 - (c) may include prerequisite courses (other than a remedial course) that meet the requirements of this subparagraph; and
- (2) include competency based applied learning that contributes to the academic knowledge, higher-order reasoning and problem-solving skills, work attitudes, general employability skills, technical skills, and occupation-specific skills, and knowledge of all aspects of an industry, including entrepreneurship, of an individual. (Perkins IV, section 3, paragraph 5).

Career and Technical Education Areas are the following Higher Education General Information Survey (HEGIS) codes: 5000 (Business and Commerce Technologies), 5100 (Data Processing Technologies), 5200 (Health Service and Paramedical Technologies), 5300 (Mechanical and Engineering Technologies), 5400 (Natural Science Technologies), and 5500 (Public Service Related Technologies).

Competitive Funds mean funds available to eligible agencies on a competitive basis, pursuant to provision in the Carl D. Perkins Career and Technical Education Act of 2006. Such grants are awarded for Tech-Prep programs.

Consortium means two or more postsecondary agencies collaboratively offering career and technical education and services.

Core Performance Indicators are defined in Perkins IV as the measures of each of the following:

- (1) Student attainment of challenging State-established academic, and vocational and technical, skill proficiencies.
- (2) Student attainment of a postsecondary degree or credential.
- (3) Placement in, retention in, and completion of, postsecondary education or advanced training; placement in military service; or placement or retention in employment.
- (4) Student participation in and completion of vocational and technical education programs that lead to non-traditional training and employment (see definition below).

Cost of Attendance means (1) tuition and fees, as determined by the institution, including costs for rental or purchase of any equipment, materials, or supplies required of all students undertaking the same course of study and the same academic workload; **and** (2) an allowance for books, supplies, transportation, dependent care, and miscellaneous personal expenses for a student attending the institution on at least a half-time basis, as determined by the institution.

Note that the portion of any student financial assistance received under Perkins IV that is made available for attendance costs is **not** considered as income or resources in determining eligibility for assistance under any other program funded in whole or in part with Federal funds.

Disability means, with respect to an individual:

- (1) a physical or mental impairment that substantially limits one or more of the major life activities of such an individual; and
- (2) a record of such impairment; **or**
- (3) being regarded as having such an impairment (Americans With Disabilities Act, 42 USC 12102).

Displaced Homemaker means an adult who:

- (1) (a) has worked primarily without remuneration to care for a home and family and, for that reason, has diminished marketable skills;
(b) has been dependent on the income of another family member but is no longer supported by such income; or
(c) is a parent whose youngest dependent child will become ineligible to receive assistance under Part A of Title V of the Social Security Act not later than two years after the date on which the parent applies for assistance under this title; and
- (2) is unemployed or underemployed and is experiencing difficulty in obtaining or upgrading employment (Perkins IV, section 3, paragraph 7).

Duplicated Count of Students means reporting individual students in EACH special population category of which they are a member (see definition of Special Populations below). Duplicated counts are to be used when completing the Part B chart "This Major Effort's Target Population/Proposed Expenditures" (page 34). When determining the number of students to be served in a Major Effort, use the following guidelines:

- (1) For efforts dedicated to a specific special population:
All (for example, 100) students are disabled. Determine the number of students of that 100 who are **also** economically disadvantaged, also single parents; also non-traditional students, etc. In this instance, there **cannot** be a number in any category higher than the number of disabled students (100) nor can there be any "General Postsecondary" students counted. In addition, **ALL** proposed expenditures must be for the 100 disabled students.
- (2) For efforts serving students in a specific career program:
The number of students reported by special population category for that career program on the Institutional Profile should be used. Expenditures should be pro-rated among the various categories.
- (3) For efforts serving students across a number of career programs such as a Learning Center or tutoring effort:
Student numbers can be estimated based on the percentages of students in specific special population categories among all career programs at the institution; expenditures should be pro-rated as well.

Note: For both instances (2) and (3), all students not members of a special population category should be reported on the "General Postsecondary" line.

Economically Disadvantaged means individuals who participate in any of the following economic assistance programs:

- a. Pell Grant
- b. Tuition Assistance Program (TAP)
- c. Aid for Part-Time Study (APTS)
- d. Educational Opportunity Program (EOP); Higher Education Opportunity Program (HEOP); Search for Education, Elevation and Knowledge (SEEK); and College Discovery (CD).
- e. Bureau of Indian Affairs Higher Education Grant Program (BIA)
- f. TANF Funded Services and Assistance
- g. Workforce Investment Act
- h. Social Security Insurance
- i. Women, Infants, and Children (WIC)
- j. Other public assistance programs serving economically disadvantaged, such as: Food Stamps, Home Energy Assistance Payments (HEAP), Supplemental Security Income, Trade Readjustment Act, and Refugee and Immigration Affairs Assistance.

Or who may be documented as low income:

- k. Other: An adult with a total family income below \$14,100 for single persons, \$19,600 per couple, or \$22,350 for a family of three, with an additional \$4,350 per dependent child.

Eligible Postsecondary Institution, regarding this request for non-competitive proposals, means a public or independent [not-for-profit] degree-granting institution or Educational Opportunity Center (EOC) that offers career and technical education below the baccalaureate level and generates \$50,000 or more in postsecondary/adult formula funds or a consortium of

such institutions which meets that \$50,000 minimum grant requirement and that offers collaborative career and technical education programs that will be of sufficient size, scope, and quality to be effective.

Equitable Participation means that special population students must have the same opportunity to enroll in each career and technical education program as other populations served by the recipient.

Formula Funds are funds available to all eligible agencies on a non-competitive basis, pursuant to section 132 of the Carl D. Perkins Career and Technical Education Act of 2006, for the purpose of improving career and technical education.

Full Participation involves providing the supplementary and other services to **special populations** (see below) that enable them to succeed in the career and technical education program. The needs of all seven special population groups, if matriculated in a career and technical education program, must be addressed in any activity that is funded. In determining which sites or programs to fund, **SED expects that priority will go to those with the highest concentrations or percentages of individuals who are members of special populations.** There is no requirement to spend a particular amount of money for any given group. Rather, it must be demonstrated that the needs of each special population group have been identified and factored into decisions relating to the application of funds.

Individuals with other Barriers - A student who has barriers to education achievement requiring special services and assistance to assure success in career and technical education programs. This includes any student who has not acquired the verbal, mathematical, and other cognitive skills required to complete his/her postsecondary program. Generally, his/her grades fall in the bottom half of the secondary school graduating class, he/she has not earned a Regents diploma, is from a secondary school setting which has a poor record for preparing students, or has been out of school for two years or more. He/she will generally rank low on traditional measures of collegiate admissions such as SAT scores, secondary grade average, and class standing. This also includes students who are enrolled in an Educational Opportunity Program (EOP); Higher Education Opportunity Program (HEOP); Search for Education, Elevation and Knowledge (SEEK); and College Discovery (CD).

Institutional Profile reports data related to the size and scope of the applicant's career and technical education programs. It is submitted electronically to SED as an EXCEL file.

Integrated Academic/Skill Programs integrate academics and career education through a coherent sequence of courses so that students can achieve both academic and career competencies. Such programs include competency-based, applied learning that contributes to an individual's academic knowledge, higher-order reasoning, problem-solving skills, work attitudes, general employability skills, and the career-specific skills needed for economic independence as a productive and contributing member of society.

Limited English Proficiency and Limited-English-Proficient (LEP) Individuals refer to an individual:

- (1) Who has limited ability in speaking, reading, writing, or understanding the English language and

- (2) Whose native language is a language other than English or who lives in a family or community in which a language other than English is dominant (Perkins IV, section 3, paragraph 16).

A **Local Advisory Council** consists of at least ten members who are not employees of the institution/agency and includes, but need not be limited to, persons from the following seven groups: (a) parents, (b) students, (c) faculty members, (d) representatives of business and industry, (e) labor organizations, (f) representatives of special populations (see definition below), and (g) other interested individuals (see Perkins IV, section 134 b, paragraph 5).

Local Improvement Plan is a plan required of postsecondary institutions that fall below required statewide standards or that show less than three percent annual progress in meeting those standards. The plan describes the strategies the institution will use to move toward achieving the pertinent statewide standard or standards.

Nontraditional Students are persons who elect to enter a career or technical education program which prepares them for entry into a career, for which individuals from one gender comprise less than 25% of the individuals employed in such occupation or field of work.

Nontraditional Training and Employment refers to occupations or fields of work, including careers in computer science, technology, and other emerging high-skill occupations, for which individuals from one gender comprise less than 25 percent of the individuals employed in such occupation or field of work (Perkins IV, section 3, paragraph 20).

An **Objective** is a statement of a specific end that, if achieved, will support one or more program goals. It is (1) stated in quantifiable terms, (2) specifies a date or time period for its achievement, and (3) indicates the resources needed to achieve it in that time period.

Planning Process refers to the development of the local plan required of all Perkins III-eligible postsecondary institutions seeking formula allocation funding and covering the same period as the State plan.

A **Registered Program** is a degree program or a credit or noncredit diploma or certificate program included in the State Education Department's Inventory of Registered Programs as meeting the standards of quality for registration in subchapter A of the **Regulations of the Commissioner of Education**.

A **Single Parent** is an individual who is not married or who is legally separated from a spouse and (1) has a minor child or children for whom the parent has either custody or joint custody or (2) is pregnant.

Size, Scope, and Quality: Funds may be used only to provide career and technical education in projects of **sufficient size, scope, and quality** to be effective. All degree and credit-bearing certificate programs supported by Perkins III funds must be registered by the State Education Department as meeting the quality standards in the **Regulations of the Commissioner of Education**. Evidence of registration is a Department registration letter or inclusion of the program in the Inventory of Registered Programs at the institution that SED sends annually to the institution. The Institutional Profile included in the application provides information about size and scope of projects.

Special Populations, for the purposes of Perkins IV, are:

- (1) Individuals with disabilities;
- (2) Economically Disadvantaged Individuals;
- (3) Individuals preparing for nontraditional training and employment;
- (4) Single Parents;
- (5) Displaced Homemakers;
- (6) Individuals with other barriers to educational achievement, including educational disadvantage; and
- (7) Individuals with Limited English Proficiency;

Statewide Performance Measures means the State-adjusted levels of performance, approved by the U.S. Secretary of Education, for each of the four core indicators of performance (see definition above), as set forth in the State plan for Perkins III for the period 2001-02 through 2004-05.

Supplemental Services include counseling, English language instruction, child care, and special aids designed to assist students who are economically disadvantaged, students of limited English proficiency, and students with disabilities to succeed in the career education programs of their choice.

Support Services means services related to curriculum modification, equipment modification, supportive personnel, and instructional aids and devices (Perkins IV, section 3, paragraph 31).

A Tech-Prep Student: A New York State "Tech-Prep Student" is one who has signed a Tech-Prep Enrollment Form and meets the following criteria:

- Receives academic content through applied learning;
- Completes a sequence of two or more standards-based career oriented courses that provide technical skills;
- Is enabled to be employed in skilled entry level jobs and complete the postsecondary portion of a secondary/postsecondary program;
- If a postsecondary student, has completed the secondary portion of the secondary/postsecondary program and enrolls in an articulated, state registered postsecondary Tech-Prep Program, and
- Completes a two-year associate degree program, a two-year certificate program, or a two-year apprenticeship program that follows secondary Tech-Prep instruction.

A Tech-Prep Program: the term Tech-Prep program means a program of study that:

- Combines at a minimum 2 years of secondary education (as determined under State law) with a minimum of 2 years of postsecondary education in a non-duplicative, sequential course of study;
- Integrates academic, and vocational and technical instruction, and utilizes work-based and worksite learning where appropriate and available;
- Provides technical preparation in a career field such as engineering technology, applied science, a mechanical, industrial, or practical art or trade, agriculture, health occupations, business, or applied economics;

- Builds student competence in mathematics, science, reading, writing, communications, economics, and workplace skills through applied, contextual academics, and integrated instruction, in a coherent sequence of courses;
- Leads to an associate or a baccalaureate degree or a postsecondary certificate in a specific career field; and
- Leads to placement in appropriate employment or further education.

Vocational and Technical Education (see Career and Technical Education, page 25)

J. RESPONSIBILITIES OF PERKINS POSTSECONDARY GRANTEES IN SUPPORTING LOCAL ONE-STOP DELIVERY SYSTEMS

Generally, the following Workforce Investment Act **core services** are applicable to Perkins programming and must be made available through the local One-Stop delivery system:

- the provision of information concerning the performance and cost of career and technical programs;
- the initial assessment of skill levels, aptitudes, abilities and supportive service needs of individuals prior to their enrollment in a career and technical education program;
- the provision of information to individuals prior to their enrollment in a career and technical education program relating to the availability of supportive services, including child care and transportation, and referral to such services.

Core services that are applicable to Perkins grantee programs must be accessible through the local One-Stop delivery system. The purpose of this requirement is to ensure that core services are provided by One-Stop partners in a coordinated, non-duplicative manner. Grantees are not required to provide any new or additional services that they would not have otherwise offered using Perkins funds.

The amount that each grantee contributes to the **administrative costs** of the local One-Stop delivery system is negotiated with the Local Workforce Investment Board as part of the Memorandum of Understanding (MOU).

Decision-making and negotiation with respect to this contribution must take into account the following factors:

- **Proportionality.** The contribution must be "proportionate to the use of the One-Stop delivery system by individuals attributable to" the Perkins grantee's vocational and technical program. The method of attributing individuals to the Perkins program is negotiated as part of the MOU. Other related considerations, such as how the system is used by attributable individuals, including the level or intensity of services that are provided to them, might also be considered in applying this principle of proportionality.
- **Limitations on Administrative Costs.** Contributions to the administrative/operating costs of the One-Stop delivery system, such as the rental of space occupied by an employee performing administrative functions, are presumptively administrative costs under Perkins. Perkins grantees may not expend more than 5 percent of their Perkins funds on administrative costs.

- **Cost of Other Responsibilities.** Perkins grantees have administrative responsibilities, including, the implementation of performance accountability systems necessary to fulfill the Perkins accountability requirements. Perkins grantees should retain sufficient funds to enable them to fulfill these responsibilities.
- **Allowable Costs.** Perkins grantees may only contribute toward costs that are allowable under the Perkins Act. U.S. Department of Education regulations, for example, prohibits the use of funds "for the acquisition of real property or for construction unless specifically permitted by the authorizing statute" for the program.

Perkins grantees and the Local Workforce Investment Board may determine the amount, and manner, of the contribution within these parameters. Contributions may be made on an in-kind basis or directly through a transfer of funds.

Each Local Workforce Investment Board has designated at least one Perkins grantee to serve on the Board, representing the interests of other Perkins grantees. The list of Local Workforce Investment Boards including the designated Perkins Board members can be found on the following web site: <http://www.workforcenewyork.org/lwiacontacts.htm>. Perkins grantees who are not members of a Local Workforce Investment Board may wish to collaborate with the designated Perkins Board member to determine resources that each Perkins grantee can provide in support of the local One-Stop delivery system. These resources are the basis for core services and administrative support that will be negotiated in a grantee's MOU.

The University of the State of New York
THE STATE EDUCATION DEPARTMENT
Collegiate Development Programs Unit
Education Building Addition, Room 1071
Albany, NY 12234

POSTSECONDARY GRANT INFORMATION FORM, FY 2007-2008
Perkins IV Formula Allocation, Postsecondary Institutions

Project Number: 8000-08- _____

Part A refers to the overall grant. **Part B** should be reproduced and completed for each Major Effort within the overall grant.

PART A - OVERALL GRANT

1. Institution/Consortium Name: _____
2. Dates of Operation: From 7/1/07 to 6/30/08
3. Name of Perkins IV Contact Person: _____
Title: _____
Street Address: _____
City: _____ State: NY Zip Code: _____
Telephone: _____ Fax: _____
E-mail Address: _____
4. Chief Executive Officer: _____
Street Address: _____
City: _____ State: NY Zip Code: _____

Chief Executive Officer Certification. I hereby certify that the information in this application for a Perkins IV grant is correct and complies with appropriate Federal and State laws and regulations and that the grant detailed herein will be carried out as described.

Signed: _____ Date: _____

Name (print): _____ Title: _____

An original signature in blue ink is required.

PART B - MAJOR EFFORT DATA - POSTSECONDARY GRANT INFORMATION FORM
Fiscal Year 2007-2008

Institution/Consortium Name _____

Include a separate completed Part B for each Major Effort in the application. Make additional copies of Part B as needed.

1. This Major Effort's Number: ____ of ____
2. This Major Effort's Title: _____
3. This Major Effort's Target Population/Proposed Expenditures:

Enter the number of career/technical students who will receive DIRECT services by this Major Effort by the population category of which a student is a member and the proposed expenditures. Students who qualify in more than one special population category should be reported in EACH category that applies. Therefore, the numbers reported should be DUPLICATED. (See the Definitions Section for a further explanation of "Duplicated Count of Students" on page 27.) Use the General Postsecondary category only for students who are NOT members of any special population.

On the last line, enter the UNDUPLICATED number of students who will be served by this Major Effort.

Population	# of Students	Proposed Expenditure
General Postsecondary (students NOT reported in any of the categories shown below)		\$
Individuals with Disabilities		\$
Economically Disadvantaged Individuals		\$
Individuals preparing for nontraditional training and employment		\$
Single Parents		\$
Displaced Homemakers		\$
Individuals with other barriers to educational achievement, including educational disadvantage		\$
Individuals with Limited English Proficiency		\$
MAJOR EFFORT TOTAL (DUPLICATED COUNT):		\$
MAJOR EFFORT TOTAL (UNDUPLICATED COUNT):		XXXXXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXXXXX

4.
 - a. **Name and Title of the Director of this Major Effort:**

 - b. **Director's Telephone Number:** _____
 - c. **Director's E-Mail Address:** _____

Part B – Major Effort Data – Postsecondary Grant Information Form

5. **Major Effort Description.** Check as many of the following nine required activities as this Major Effort addresses, but not less than one.

Perkins IV Mandated Activities	Addressed
1. Strengthen the Academic, Career, and Technical Skills of Students	
2. Link Career and Technical Education at the Secondary Level and Career and Technical Education at the Postsecondary Level	
3. Provide Students with Strong Experience In and Understanding Of All Aspects of an Industry	
4. Develop, Improve, or Expand the Use of Technology in Career and Technical Education	
5. Provide Professional Development Programs to Teachers, Counselors, and Administrators	
6. Develop and Implement Evaluations of Career Education Programs	
7. Initiate, Improve, Expand, and Modernize Quality Career and Technical Education Programs	
8. Provide Services and Activities that are of Sufficient Size, Scope, and Quality to be Effective	
9. Provide Activities to Prepare Special Populations for High Skill, High Wage, or High Demand Occupations that will lead to Self Sufficiency	

Provide a detailed narrative of this Major Effort. Attach as many pages as needed, numbering each with this major effort's number. The narrative should describe fully:

- the need for this Major Effort;
 - if a Local Improvement Plan (LIP) was required, the Major Effort's relationship to the LIP;
 - this Major Effort's objectives (**quantified** where appropriate);
 - the core-services and administrative support for the local One-Stop delivery system (if applicable);
 - activities to achieve the objectives;
 - coordination with external agencies (especially workforce preparation providers); and
 - this Major Effort's timeline, noting significant activities, month-by-month.
6. **Major Effort's Evaluation:** List the **quantitative** evaluation methods that will be used to determine whether the Major Effort's objectives have been achieved. Examples include: retention rates, completion/graduation rates, **quantitative** evaluation instruments that measure the career skills gained by students during the course of the major effort, pre- and post-test results, and assessments of staff development activities. For each method, list the corresponding outcome or achievement to be reached during the funding year. **All outcomes must be identified as quantifiable student outcomes related to skills attainment, retention, completion, and/or placement.** If one of the objectives of the major effort is full participation in training to prepare individuals for nontraditional employment, quantitative evaluation measures must be designed to measure this objective. **RESULTS OF SURVEY INSTRUMENTS DESIGNED TO MEASURE STUDENT/FACULTY SATISFACTION WILL NOT BE ACCEPTED AS EVALUATION MEASURES.**

Example:

Evaluation Measure: Completion rates for the coming year will be compared to prior year rates.

Outcome: As a result of this Major Effort completion rates will increase from 50% to 60%.

Attach as many pages as needed. Number each with this Major Effort's number.

7. **Major Effort Staff:** List the names and titles of all persons who will be assigned to and funded by this Major Effort. Show the percent or full-time equivalent of each person's time devoted to this Major Effort. Indicate Major Effort salary, but do not include fringe benefits. **Attach statements of the job qualification requirements for each vacant position, curriculum vitae for incumbents for whom none have previously been submitted, and curriculum vitae for all consultants.**

	<u>Name</u>	<u>Title</u>	<u>Time</u>	<u>Salary</u>
1.	_____	_____	_____	_____
2.	_____	_____	_____	_____
3.	_____	_____	_____	_____
4.	_____	_____	_____	_____
5.	_____	_____	_____	_____
6.	_____	_____	_____	_____
7.	_____	_____	_____	_____
8.	_____	_____	_____	_____

8. **Major Effort Budget**

Any costs shown below must also appear on the FS-10 budget with the number of this Major Effort entered next to the items listed on the FS-10.

Category	Code	Major Effort Costs	
Professional Salaries	15	\$	
Non-Professional Salaries	16	\$	
Purchased Services	40	\$	
Supplies and Materials	45	\$	
Travel Expenses	46	\$	
Employee Benefits	80	\$	
Indirect Costs	90	\$	
Minor Remodeling	30	\$	
Equipment	20	\$	
Major Effort Total		\$	

The University of the State of New York
THE STATE EDUCATION DEPARTMENT
STATEMENT OF ASSURANCES

Academic Year 2007-08

Carl D. Perkins Career and Technical Education Act (Perkins IV)
Postsecondary Agencies: Basic Grant

All subrecipients assure that:

- Perkins IV funds will supplement and not supplant local expenditures and will not duplicate objects of expenditure from other sources.
- None of the funds expended under Perkins IV are being or will be used to acquire equipment (including computer software) in any instance in which such acquisition results in a direct financial benefit to any organization representing the interests of the purchasing entity or its employees or any affiliate of such an organization.
- Methods of administration and fiscal control are in place for proper and efficient administration and accounting of projects funded under Perkins IV in accordance with applicable Federal and State laws, regulations, and directives.
- This application was made available for review and comment by interested parties including the appropriate administrative entity under the Workforce Investment Act and the District Office of the Office of Vocational and Educational Services for Individuals with Disabilities.
- The subrecipient will submit, with its Perkins IV application, one copy of the most recently formalized Memorandum of Understanding (MOU) established with the appropriate Local Workforce Investment Board(s).
- The seven special populations under Perkins IV have the same opportunity to enroll in career and technical education programs as other populations served, are provided with programs designed to enable them to meet the State levels of performance, and are not discriminated against on the basis of their status as members of the special populations.
- All consultants meet competency requirements and are legally eligible to receive Perkins IV funds.
- The subrecipient complies with and activities conducted with Perkins IV funds will take place in accordance with: (1) Title VI of the Civil Rights Act of 1964, (2) Title IX of the Education Amendments of 1972, (3) Section 504 of the Rehabilitation Act of 1973, (4) the Americans with Disabilities Act, and (5) the U.S. Office for Civil Rights' *Guidelines for Eliminating Discrimination and Denial of Services in Vocational and Technical Education on the Basis of Race, Color, National Origin, Sex and Handicap*.

- With respect to the above, the subrecipient agrees to the following conditions:
 - (a) The subrecipient will, upon request, provide SED with access to its records and other sources of information that may be necessary to determine whether violations of the civil rights authorities have occurred.
 - (b) If SED issues a final letter of findings indicating the subrecipient has failed to comply with the civil rights authorities, the subrecipient, within 90 days of receiving the letter, will submit to SED an approvable compliance plan describing the steps it will take to overcome the violation and the effects of the violation. The compliance plan shall describe in detail:
 - (1) The steps the subrecipient will take to remedy the violation;
 - (2) The proposed timetable for remediation of the violation; and
 - (3) The personnel responsible for implementing the compliance plan.
- Should a subrecipient of Perkins IV funds be determined to be in noncompliance with any of the three Federal civil rights statutes and not be willing to furnish an approvable compliance plan to correct the situation, the matter will be referred to the Office for Civil Rights in the U.S. Department of Education. Should this occur, SED may be required to withhold all Federal funding from the subrecipient in noncompliance.
- Perkins IV funds will only be used to provide career and technical education programs that are of a size, scope, and quality as to bring about improvement in the quality of education offered by the subrecipient.
- All equipment purchased under this grant will be installed and operational no later than February 15, 2008. Funding for equipment not installed and operational by February 15, 2008, will lapse on that date.

Funded projects will provide information on steps to ensure equitable access and participation in funded activities by addressing the special needs of students, faculty members, and other program beneficiaries in order to overcome barriers to equitable participation, including barriers based on age, color, religion, creed, disability, marital status, veteran status, national origin, race, gender, genetic predisposition or carrier status, or sexual orientation. Chief Executive Officer's Certification

I hereby certify that the institution is in compliance with the assurances listed above.

Date

Signature*

Name and Title

*** Original signature required in blue ink.**

**CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER
RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS**

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Non-Procurement) and Government-wide Requirements for Drug-free Workplace (Grants)." The certification shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110 --

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (2) (b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 --

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about --

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after having received notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue, SW (Room 3652, GSA Regional Office Building No. 3), Washington DC 20202-4248. Notice shall include the identification number(s) of each affected grant.

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant.

Place of Performance (Street address, city, county, state, zip code)

Check ☐ if there are workplaces on file that are not identified here.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

NAME OF APPLICANT

PR/AWARD NUMBER and/or PROJECT NAME

PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE

SIGNATURE

DATE

ED80-0013

12/98

DRUG-FREE WORKPLACE (GRANTEES WHO ARE INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 –

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue, SW (Room 3652, GSA Regional Office Building No. 3), Washington DC 20202-4248. Notice shall include the identification number(s) of each affected

LOCAL ADVISORY COUNCIL FOR CAREER AND TECHNICAL EDUCATION MEMBERSHIP LIST

Every postsecondary institution or consortium receiving Perkins IV formula grants is required to appoint and maintain a local advisory council. The council must consist of at least ten members. **Its members may not be employees of the agency being served.** The membership must include, but need not be limited to, representatives of each of the following seven groups:

1. Students
2. Parents
3. Faculty members *
4. Representatives of business and industry
5. Labor organizations **
6. Special populations
7. Other interested individuals: SED recommends adding a Tech-Prep consortia site coordinator, if one is present in the institution's service area.

* Faculty members **cannot** be employed by the funded institution

** Labor organizations refers to labor unions

On the following form, indicate the name of the institution or consortium advised by this council and the name of the council's chairperson. Also indicate the name, job title, business address, and the term expiration date for each council member. Indicate the gender of each member, whether the member is representative of a minority group, whether the member is representative of non-traditional employment, and the group number (1 to 6 from the above list) the member represents. **A single member may represent more than one group;** for each member, note each group represented.

Form VTEA-PS-3. **LOCAL ADVISORY COUNCIL FOR CAREER AND TECHNICAL EDUCATION MEMBERSHIP LIST -- FY 2007-08**

Institution or Consortium: _____

Council Chairperson: _____

Name and Job Title	Name and Address Of Business	Date Term Expires	Gender (Male/ Female)	Minority (Yes/No)	Non- Traditional (Yes/No)	Group Number (1-7)

(make copies, as needed)

Proposed Budget for a Federal or State Project (Form FS-10 [01/05]).

The FS-10 can be found at <http://www.oms.nysed.gov/café/fs10.doc>. Refer to page 15, Item F.10.c. for further instructions regarding this form.

Spreadsheet of Proposed Type of Expenditure by Major Effort:

Budget Category	FS-10 Code	Major Effort 1	Major Effort 2	Major Effort 3	Major Effort 4	Major Effort 5	Total of Major Efforts
Professional Salaries	15						
Support Staff	16						
Purchased Services	40						
Supplies and Materials	45						
Travel Expenses	46						
Employee Benefits	80						
Indirect Costs	90						
Minor Remodeling	30						
Equipment	20						
TOTAL							

Notes: Duplicate this form if this project has more than 5 Major Efforts.

The total proposed expenditure for each Major Effort must equal the Major Effort Total on the VTEA-PS-1 Part B for that Major Effort.

The total proposed expenditure for all major efforts must equal the Grand Total on the final page of the FS-10.

ATTACHMENT A

ATTACHMENT B

ATTACHMENT C

ATTACHMENT D

ATTACHMENT E

ATTACHMENT F

ATTACHMENT G

ATTACHMENT H

ATTACHMENT I

ATTACHMENT J

ATTACHMENT C

Perkins IV Postsecondary Basic Grant Allocations 2007-2008

Institution	FY08 Amount
Adirondack Community College	137,257
Borough of Manhattan Community College	2,009,355
Bramson ORT College	160,601
Bronx Community College	1,225,801
Bronx EOC	113,048
Brooklyn EOC	141,796
Broome Community College	395,343
Buffalo EOC	78,031
Capital District EOC	92,513
Cayuga County Community College	213,991
Clinton Community College	86,893
College of Staten Island	371,999
Columbia-Greene Community College	116,722
Corning Community College	329,849
Culinary Institute of America	202,103
Dutchess Community College	511,849
Erie Community College	1,103,675
Fashion Institute of Technology	322,932
Finger Lakes Community College	315,583
Fulton-Montgomery Community College	146,551
Genesee Community College	455,001
Herkimer County Community College	323,364
Hostos Community College	1,164,846
Hudson Valley Community College	928,375
Jamestown Community College	229,770

Jefferson Community College	226,096
John Jay College	998,409
Kingsborough Community College	929,672
LaGuardia Community College	1,642,976
Long Island EOC	125,369
Manhattan EOC	79,328
Maria College	65,927
Medgar Evers College	659,914
Mohawk Valley Community College	405,286
Monroe Community College	1,077,737
Nassau Community College	572,588
New York City Technical College	1,131,991
Niagara County Community College	470,348
North Country Community College	153,252
Onondaga Community College	560,268
Orange County Community College	237,552
Queensborough Community College	748,320
Rochester EOC	129,908
Rochester Institute of Technology	152,171
Rockland Community College	164,492
Schenectady County Community College	353,626
Suffolk County Community College	448,300
Sullivan County Community College	110,238
SUNY ATC at Cobleskill	383,887
SUNY ATC at Morrisville	389,291
SUNY College of Technology at Alfred	362,056
SUNY College of Technology at Canton	322,284
SUNY College of Technology at Delhi	301,965

SUNY College of Technology at Farmingdale	114,561
Syracuse EOC	46,473
Tompkins-Cortland Community College	297,858
Trocaire College	210,100
Ulster County Community College	148,497
Vaughn College of Aeronautics	156,062
Villa Maria College	66,143
Westchester Community College	414,365
Westchester EOC	62,684

Consortium totals as are follows:

Columbia-Greene/Maria College	182649
SUNY Morrisville/Syracuse EOC	435764
SUNY Farmingdale/Long Island EOC	239930

ATTACHMENT D

NYSED**New York State Education Department****Education - P-16**[Back to
EMSC
Home
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Disclaimer
and
Notices](#)**2007-08 Career Pathways and Perkins Title II
Application Guidance and Instructions****Application Form (in Word)****FS-20 (in Word)****Scoring Rubric (in Word)*****Program Purpose***

The Career Pathways and Perkins Title II program was established under Title II Tech-Prep Education of the Federal Career and Technical Education Improvement Act (Perkins IV) to "develop more fully the academic and career and technical skills of secondary and postsecondary students who elect to enroll in career and technical education." This law challenges educational agencies to work in consortia to implement Career Clusters/Career Pathways in Tech-Prep, to share expertise in articulation development between secondary and postsecondary institutions, to increase academic and technical proficiencies of Tech-Prep and other students for the purpose of increasing student success so that high school and college retention and completion rates increase in career and technical programs.

These consortia will be held accountable through program-performance targets which will include the collection and analysis of data by consortia by career cluster. Performance measures will be based on the retention and completion of high school and college students in their career pathways programs and their subsequent success in the global economy through long-term placement in employment related to their career pathways of study.

Project Period

July 1, 2007 through June 30, 2008

Due Date

Submit one original and two copies of the completed application postmarked by June 11, 2007 to:

New York State Education Department
Grants Management
Room 676 EBA
Albany, NY 12234

Eligible Applicants

Consortia of Local Perkins Eligible Recipients with at least five years experience working in the area Tech Prep/Career Clusters. This includes public school districts, BOCES, and State Registered degree-granting institutions of higher education offering an associate degree or a two-year certificate which are responsible for administering at least one Career Pathways in Tech-Prep program of study.

Each of the Large Five school districts may apply as a single school district through consortia with a BOCES/s, where applicable, and one or more Perkins eligible postsecondary institutions.

Any other school district may only apply in consortia with at least one other school district, at least one Board of Cooperative Educational Services (BOCES), and at least one postsecondary institution.

One member of the consortium must serve as the applicant and fiscal agent. The superintendent, district superintendent, college president, of the applicant/fiscal agent shall:

- Provide leadership for coordinating the efforts of the consortium.
- Provide for the work of career pathways/career cluster initiative within the region.
- Serve as the “point person” for all agencies wanting to engage in the work of the consortium, such that it develops and implements strategies for the agencies and/or other consortia within the region.
- Ensure appropriate data systems are in place and all appropriate data are collected and submitted to SED in a timely manner.
- Submit an interim and an annual report as required by SED.

The applicant/fiscal agent must require consortium partners to sign an agreement that specifically outlines all services each partner agrees to provide.

Note: All entities except for public entities exempted by the State Comptroller are required to go through the contract process. Any agency that has not previously received funding with the State Education Department must complete and submit a Payee Information Form at <http://www.oms.nysed.gov/cafe/PIform.doc>.

Funds Available

\$ 5,280,000. Maximum grant award is \$165,000.

Requirements

Consortia applying for grants are required to engage in collaborative consortia planning involving teachers, administrators, staff, parents, and, where appropriate, students. Grant proposals must be developed in conjunction with a fully functioning steering committee. The completed proposal should reflect a cohesive plan or program, with each individual section related to all other sections.

Along with the grant application, consortia applicants working with their steering committee must submit a Transition Year Plan for the period 2007-2008 that aligns with the State Plan.

The steering committee must use collaborative-decision-making in which all parties, including the fiscal agent, have equal weight in decisions. The steering committee must be comprised of a representative from each member of the consortium. The consortium must include at least one secondary, one BOCES, and one post-secondary Perkins eligible agency and may include institutions of higher education that award a baccalaureate degree, and employers, including small businesses, business intermediaries, and labor organizations. Further, the committee will have established rules for operation, including frequency of meetings, and procedures for recording and disseminating steering committee decisions or minutes. Consortia applicants that are unable to demonstrate the existence of such a steering committee will not be funded.

There must be a formal articulation agreement between members of the consortium that is designed to provide students with a non-duplicative sequence of progressive achievement leading to competencies in the Career Pathways in Tech-Prep program. The agreement must be signed by the Chief Executive Officer of each participating agency and specify the roles, responsibilities and committed resources of each participant.

Grant proposals must include a plan to implement the Career Pathways in Tech-Prep using the Career Clusters Initiative with 16 clusters and Career Pathways with 81 pathways in the programs of study. This effort shall concentrate on innovative and academic challenging methodologies and strategies that lead to seamless transition for students from secondary to post-secondary environments. As such, the Career Pathways in Tech-Prep concentrate on nontraditional programs for men and women; high-skills, high-wage occupations; emerging professions; industry recognized credentials; and high-demand occupations.

Grant proposals must also include:

- Strategies to unite the agencies in the region wanting to engage in the work of the consortium.
- Articulation between secondary and postsecondary institutions.
- Strategies to increase academic and technical proficiencies of Tech-Prep and other students so that high school and college retention and completion rates increase.
- Method to collect data by student by school/college by career pathway and by career cluster and to submit those data to the Department which, in turn, will provide measures of the consortia's performance.

Contents of the Career Pathways in Tech-Prep

Career Pathways in Tech-Prep consists of a program plan of study that:

- Combines a minimum of two years of secondary education with a minimum of two years of postsecondary education in a non-duplicative, sequential course of study; or an apprenticeship program of not less than two years following secondary education instruction;
- Integrates academic and career and technical education instruction, and utilizes work-based and worksite learning experiences where appropriate and available;
- Provides technical preparation in a career field, including high-skill, high-wage, high-demand occupations;
- Builds student competence in technical skills and in core academics through applied, contextual,

and integrated instruction, in a coherent sequence of courses;

- Leads to technical skill proficiency, an industry-recognized credential, a certificate, or a degree, in a specific career field;
- Leads to placement in high-skill or high-wage employment, or to further education;
- Uses career and technical education within the Career Pathways in Tech-Prep;
- Meets academic standards developed by the State;
- Links secondary schools and two-year postsecondary institutions, and if possible and practicable, four-year institutions of higher education, through non-duplicative sequences of courses in career fields, the use of articulation agreements, and the investigation of opportunities for secondary education students to enroll concurrently in secondary education and postsecondary education coursework;
- Uses, if appropriate and available, work-based or worksite learning experiences in conjunction with business and all aspects of an industry;
- Uses educational technology and distance learning, as appropriate to involve all the participants in the consortium more fully in the development and operation of programs;
- Includes in-service professional development for higher education faculty and school system teachers, and administrators;
- Includes professional development for counselors which is designed to enable them to: provide information to students regarding the career pathways; support student progress in completing the Career Pathways in Tech-Prep; give information on related employment opportunities; ensure that students are placed in appropriate employment or further postsecondary education; stay current with the needs, expectations, and methods of business and industry; and provide comprehensive career guidance and academic counseling to participating students, including special populations;
- Provides equal access to the full range of technical preparation to individuals who are members of special populations, including the development of services appropriate to the needs of special populations;
- Provides for preparatory services that assist participants in the Career Pathways in Tech-Prep Programs of Study;
- Coordinates with activities conducted under Perkins IV Title I for both secondary and postsecondary fiscal agent partners.

Additional Authorized Activities

Each Career Pathways in Tech-Prep may also:

- Provide for the acquisition of the Career Pathways in Tech-Prep equipment;
- Acquire technical assistance from State or local entities that have designed, established, and operated the Career Pathways and Tech-Prep Programs that have effectively used educational technology and distance learning in the delivery of curricula and services;
- Establish articulation agreements with institutions of higher education, labor organizations, or businesses located inside or outside the State and served by the consortium, especially with regard to using distance learning and educational technology to provide for the delivery of services and

the Career Pathways in Tech-Prep;

- Improve career guidance and academic counseling for participating students through the development and implementation of graduation and career plans; and
- Develop curriculum that supports effective transitions between secondary and postsecondary career and technical education programs.

Special Consideration

Special consideration will be given to applications that:

- Provide for effective employment placement activities or the transfer of students to baccalaureate or an advanced degree in the Career Pathways in Tech-Prep;
- Are developed in consultation with business, industry, institutions of higher education, and labor organizations;
- Address effectively the issues of school dropout prevention and reentry, and the needs of special populations;
- Provide education and training in an area or skill, including an emerging technology, in which there is a significant workforce shortage based on the data provided by the Department;
- Demonstrate how the Career Pathways in Tech-Prep will help students meet high academic and employability competencies; and
- Demonstrate success in, or provide assurances of, coordination and integration with other eligible recipients.

Accountability

The Career Pathways in Tech-Prep grantee must collect data on each student who fits the definition of a Career Pathways in Tech-Prep student and is enrolled in the Career Pathways in Tech-Prep program of study. The Director/Coordinator is responsible for all data collection and shall, if directed, submit the data digitally on appropriate forms to SED. The Director/Coordinator is responsible for securing such data from previous Tech-Prep grantees and recording them into his/her data system.

The minimum number of data elements for each student is:

Descriptive Data

- ID Number
- Gender
- Name of high school
- Date of entry into the Career Pathways in Tech-Prep
- Career Cluster Code
- The Career Pathways in Tech-Prep (CIP Code(s))

Ethnicity Designation

- American Indian/Alaskan Native (AI/AN)
- Asian (A)
- Black/African Americans (B/AA)
- Hispanic/Latino
- Native Hawaiian/Other Pacific Islander (H/OP)
- White (W)
- Unknown (Unk)

Special Population

1. Individuals with disabilities (D)
2. Displaced Homemakers (DH)
3. Single parents, including single pregnant women (SP)
4. English Language Learners (ELL) or Limited English Proficient (LEP)
5. Individuals preparing for non-traditional fields (NT)
6. Individuals from economically disadvantaged families, including foster children (ECO/DIS)

Basic

- 1S1-Academic Attainment – Reading/Language Arts
- 1S1-Academic Attainment – Mathematics
- 2S1-Technical Skill Attainment
- 3S1-Secondary School Diploma
- 3S2-GED or Other State-Recognized Equivalent
- 3S3-Diploma and Other Credential
- 4S1-Student Graduation Rates
- 5S1-Secondary Placement
- 6S1-Nontraditional Participation
- 6S2-Nontraditional Completion

- 1P1-Technical Skill Attainment
- 2P1-Post-Secondary Credential Attainment
- 3P1-Student Retention or Transfer
- 4P1-Student Placement
- 5P1-Nontraditional Participation
- 6P2-Nontraditional Completion

Tech Prep

- TC1-Number of secondary and postsecondary served;
- TS2-Number and percent of secondary enrolled in postsecondary;
- TS3-Number and percent of secondary enrolled in postsecondary in the same field or major;
- TS4-Number and percent of secondary that complete a State or industry-recognized certification or licensure;
- TS5-Number and percent of secondary that complete courses that award postsecondary credit at the secondary level;
- TS6-Number and percent of secondary that enroll in remedial mathematics, writing, or reading courses upon entering postsecondary education;
- TP1-Number and percent of postsecondary that are placed in a related field of employment not later than 12 months after graduation;
- TP2-Number and percent of postsecondary that complete a State or industry-recognized certification or licensure;
- TP3-Number and percent of postsecondary that complete a 2-year degree or certificate program within the normal time for completion of such program; and
- TP4-Number and percent of postsecondary that complete a bachelor's degree within the normal time for completion of such program.

Definitions

Career Pathways in Tech-Prep Student is one who has signed the Career Pathways in Tech-Prep Enrollment Form and meets the following criteria:

- receives academic content through applied learning;
- completes a sequence of two or more standards-based, career-oriented courses that provide technical skills that are part of a career pathway;
- is able to be employed in skilled, entry-level jobs and complete the postsecondary portion of a secondary/postsecondary Career Pathways in Tech-Prep program in the career pathway of choice;
- if a postsecondary student, has completed the secondary portion of the secondary/ postsecondary Career Pathways in Tech-Prep program and enrolls in an articulated, State-registered postsecondary program which continues the Career Pathways in Tech-Prep; and
- completes a two-year associate degree, a two-year certificate, or a two-year apprenticeship that follows secondary Career Pathways in Tech-Prep instruction.

An Articulation Agreement is an agreement between a secondary agency and a postsecondary institution, which describes the academic and technical education in which a Career Pathways in Tech-Prep student will engage. Its purpose is to develop, implement, and institutionalize a seamless, non-duplicative school-based and work-based course/ program of study leading to an associate degree in a specialized Career Clusters/Career Pathways in Tech-Prep area that spans at least four years (grades 11-14). It must include the roles and responsibilities of each consortium member and the roles of the steering committee, the policy and procedures ensuring students will receive various types of college credit for courses taken in high school during a Career Clusters/Career Pathways in Tech-Prep sequence, student activities, teacher/faculty activities, and the academic and technical competencies students will

attain as a result of this articulation agreement. The following statements must be included: an attestation to the support for equal access for students with disabilities and at-risk students; assurance of support for the inclusion of nontraditional students; assurance that the applied/contextualized curriculum will be reviewed annually and updated as needed; and assurance that consortium members will participate in student assessment activities and data collection efforts as required by Perkins legislation.

The Director/Coordinator of a Career Pathways in Tech-Prep program is responsible for the planning of the Career Pathways in Tech-Prep and its implementation. S/he brings teachers and faculty together for curricular planning; works with schools to ensure successful implementation of the Career Pathways in Tech-Prep; follows up on student assessment; ensures data systems are operational and that all required data is collected and submitted digitally to the Department; and appropriate reports are written to satisfy federal and State requirements. The coordinator is also expected to work closely with local school districts in the development and implementation of their professional development plans for further understanding the career pathways and career clusters and with local business and industry to develop support for the Career Pathways in Tech-Prep and places where students may intern. S/he must keep abreast of the workforce development efforts in their local areas, attend professional development meetings where information about career clusters and career pathways is presented, attend the Career Pathways in Tech-Prep statewide annual meetings and the national meeting (if possible), and ensure all parties involved are working for the interests of the Career Pathways in Tech-Prep students. The coordinator is responsible to the steering committee.

Collaborative Decision-Making Process is one in which each member on the steering committee has a vote and that vote has equal weight, including the fiscal agent.

The DACUM (Develop A Curriculum) Process for job analysis takes a panel of 8 –12 expert workers to describe their jobs in great detail. Secondary and postsecondary agencies have used this process with business and industry experts to successfully develop curricula that can be used effectively to establish viable Career Pathways in Tech-Prep. (<http://www.dacumohiostate.com/>)

Management and Staffing

The management plan should identify the staff responsible for the overall project and the staff responsible for project components. The management plan should provide detailed descriptions of project development, implementation, evaluation, data collection methods, and accountability strategies. It should provide a timeline for the accomplishment of the Career Pathways in Tech-Prep objectives, activities, and data collection and should identify the management procedures as they relate to the timeline of project activities.

Allowable Activities and Costs

Budgets will be reviewed and any items that are deemed non-allowable, excessive or inappropriate will be eliminated.

The general guide for allowable expenditures is that the expenditure contributes to student achievement in Career Pathways. Allowable expenditures include the following:

- Child care subsidies for children of students matriculated in Career Pathways in Tech-Prep;
- Equipment (including computers) acquisition, installation, repair, and maintenance;
- Instructional supplies and materials including computer software and testing materials;

- Supplemental staff, including instructors, technicians, aides, tutors, signers, note-takers, and interpreters for special population students;
- Supplemental services to improve access such as curriculum modification, equipment modification, classroom modification, and instructional aids and devices;
- Travel in the United States that is specifically related to the project's major efforts.

Non-Allowable Activities and Costs

- Supplanting existing funding and efforts;
- Sub-granting to members of the consortia or other agencies including mini-grants.
- Acquisition of equipment for administrative or personal use;
- Acquisition of furniture (e.g., bookcases, chairs, desks, file cabinets, tables) unless an integral part of an equipment workstation or to provide reasonable accommodations to Career Pathways in Tech-Prep students with disabilities;
- Food services/refreshments/banquets/meals;
- Purchase or rental of space;
- Remodeling not directly connected to accessibility to Career Pathways in Tech-Prep instruction or services;
- Payment for memberships in professional organizations;
- Pre-career educational activities;
- Purchase of promotional favors, such as bumper stickers, pencils, pens, or T-shirts.
- Subscriptions to journals or magazines;
- Travel outside the United States;
- Any expenditure for students not enrolled in Career Pathways in Tech-Prep, including career exploration.

Budget Category and Narrative Forms and Budget Summary Form (FS-20)

The application must include a Budget Category and Narrative form for each category of expenditure and a Budget Summary Form (FS-20). Each Budget Category and Narrative form must include a narrative with sufficient detail to allow reviewers to understand exactly what the funds will be used for and the relationship between the proposed expenditures and project activities and goals.

The totals from each of the Budget Category and Narrative Form must correspond to amounts shown on the Budget Summary Form (FS-20). The FS-20 must bear the original signature of the Chief Administrative Officer of applicant agency.

General information about the categories of expenditures, allowable costs and applicable federal costs principles and administrative regulations are available in the Fiscal Guidelines for Federal and State Aided Grants.

Page Limits and Standards

The Project Narrative must be no more than 15 single-spaced, one-sided pages using 12-point size font. Pages must be numbered. Required charts/tables, the Budget Category and Narrative Forms, the FS-20 and the required assurances are not included in this limit. Pages that exceed this limit will not be reviewed.

Review and Rating of Applications

Applications postmarked after the due date will not be reviewed. Each application will be reviewed by two reviewers according to the indicated point criteria in the Proposal Narrative and the Proposal Evaluation Rubric. The score of each reviewer will be averaged to obtain the final average score of the application. If the two reviewer's scores are more than 20 points apart another reviewer will rate the application. The two scores closest in numeric value will be averaged to calculate the final average score of the application. An application must receive a score of at least 75 to be considered for funding.

Budgets will be reviewed and items not allowable, as excessive or inappropriate will be eliminated. Funds will be divided proportionately among the nine Joint Management Team regions, plus New York City. Each application will be ranked in order of final average score from highest to lowest in the region it serves. In the event of tie scores within a region, proposals with the highest score on item #2 in the Project Activities will be ranked higher. Awards will be made to the highest ranking applications in each region until funds allocated for that region are insufficient to fund the next ranking application serving that region in full. If any funds remain for that region, the funds will be offered to the next ranking applicant with a score of 75 or higher in that region to operate a smaller project. If funds remain after all applicants with minimum score of 75 in a region are funded, the Department reserves the right to first reopen competition within that region within 60 days of review and then, after that, allocate unspent funds from that region to unfunded eligible applicants in other regions of the State in rank order of highest scores.

Required Reports

An interim report and annual report on the results of the program are required.

Entities' Responsibility

Projects must operate under the jurisdiction of the local board of education, or other appropriate governing body, and are subject to at least the same degree of accountability as all other expenditures of the local agency. The local board of education, or other appropriate governing body, is responsible for the proper disbursement of, and accounting for, project funds. Written agency policy concerning wages, mileage and travel allowances, overtime compensation, or fringe benefits, as well as State rules pertaining to competitive bidding, safety regulations and inventory control must be followed. Supporting or source documents are required for all grant related transactions entered into the local agency's recordkeeping systems. Source documents that authorize the disbursement of grant funds consist of purchase orders, contracts, time and effort records, delivery receipts, vendor invoices, travel documentation and payment documents, including check stubs.

Supporting documentation for grants and grant contracts must be kept for at least six years after the last payment was made unless otherwise specified by program requirements. Additionally, audit or litigation

will “freeze the clock” for records retention purposes until the issue is resolved. All records and documentation must be available for inspection by NYSED officials or its representatives.

For additional information about grants, please refer to the Fiscal Guidelines for Federal and State Aided Grants, <http://www.oms.nysed.gov/cafe/guidelines.html>

NYSED Consortium Policy for State and Federal Discretionary Grant Programs:

NYSED oversees many discretionary grant programs. These programs require NYSED to issue discretionary funds through a competitive grant RFP (unlike allocational grant programs where grant funds are allocated by formula, e.g. Title I Part A, Title II Part A, Title IV Part A). The statute pertaining to a grant program may require or permit a cooperative arrangement of grant applicants/participants, for the mutual benefit of the grant participants. In such cases, the participants can form a partnership or consortium to apply for the grant. In order to do so, the partnership or consortium must meet the following requirements:

The partnership or consortium must designate one of the participants to serve as the applicant and fiscal agent for the grant. The applicant agency must be an eligible grant recipient. All other consortium members must be eligible grant participants, as defined by the program statute or regulation.

In the event a grant is awarded to a partnership/consortium, the grant or grant contract will be prepared in the name of the applicant agency/fiscal agent, not the partnership/consortium, since the group is not a legal entity.

The applicant agency/fiscal agent must meet the following requirements:

- a. Must be an eligible grant recipient as defined by statute;
- b. Must receive and administer the grant funds and submit the required reports to account for the use of grant funds;
- c. Must require consortium partners to sign an agreement with the fiscal agent that specifically outlines all services each partner agrees to provide.
- d. Must be an active member of the partnership/consortium, except where SUNY or CUNY Research Foundations are the fiscal agent.
- e. Cannot act as a flow-through for grant funds to pass to other recipients. NYSED may establish a minimum level of direct service to be provided by the fiscal agent.
- f. Is PROHIBITED from sub granting funds to other recipients. The fiscal agent is permitted to contract for services with other consortium partners or consultants to provide services that the fiscal agent cannot provide itself.
- g. Must be responsible for the performance of any services provided by the partners, consultants, or other organizations and must coordinate how each plan to participate.

APPLICATION FORM *(in Word format)*

SCORING RUBRIC *(in Word format)*

04/10/2007

2007-2008 Career Pathways and Perkins Title II

Application Cover Page

Agency Code

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Name:	Contact Person:
Address:	Title:
City: Zip Code:	Telephone:
	Fax:
County:	E-Mail:
<p>I hereby certify that I am the applicant's chief school/BOCES/college/research funds administrative officer and that the information contained in this application is, to the best of my knowledge, complete and accurate. I further certify, to the best of my knowledge, that any ensuing program and activity will be conducted in accordance with all applicable Federal and State laws and regulations, application guidelines and instructions, Assurances, Certifications, Appendix A, and that the requested budget amounts are necessary for the implementation of this project. It is understood by the applicant that this application constitutes an offer and, if accepted by the NYS Education Department or renegotiated to acceptance, will form a binding agreement. It is also understood by the applicant that immediate written notice will be provided to the grant program office if at any time the applicant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.</p>	
Authorized Signature (in blue ink)	Title:
Typed Name:	Date:

Area to be Served (check one): West ☐ Mid-West ☐ Mid-State ☐
Mid-South ☐ Lower Hudson ☐ North Country/Mohawk ☐ Capital ☐
Mid-Hudson ☐ Long Island ☐ NYC ☐

Application Checklist

Use this checklist to ensure that your application is complete and in order. Include this checklist with your application.

Required Documents

- ☐ Application Cover Page (with original signature in blue ink)
- ☐ Application Checklist
- ☐ Proposal Narrative
- ☐ Steering Committee Proposal Review and Approval Form
- ☐ Career Clusters/Career Pathways Form
- ☐ Consortium Members Form
- ☐ 2007-08 Transition Year Plan
- ☐ Budget Category and Narrative Forms
- ☐ Assurances
- ☐ Budget Summary Form (FS-20)
- ☐ Articulation Agreement/s (signed)

The State Education Department does not discriminate on the basis of age, color, religion, creed, disability, marital status, veteran status, national origin, race, gender, genetic predisposition or carrier status, or sexual orientation in its educational programs, services and activities. Portion of any publication designed for distribution can be made available in a variety of formats, including Braille, large print or audiotape, upon request. Inquiries regarding this policy of nondiscrimination should be directed to the Department's Office for Diversity, Ethics, and Access, Room 530, Education Building, Albany, NY 12234.

Has the applicant complied with the application instructions? Yes No

Reviewer: _____ **Date:** _____

Proposal Narrative

The proposal narrative is the applicant's opportunity to provide a comprehensive description of the proposed project. Be clear, precise and adhere to the following required structure. The narrative will be reviewed in accordance with the following point criteria.

Abstract (no points)

Provide a one-page summary of the proposed program.

1. Project Design [15 points]

Describe the project. Include objectives that are:

- realistic, precise, comprehensive and address the goals.
- stated in specific terms with measurable outcomes.
- developed in consultation with business, industry and labor unions (evidence required).

2. Project Activities [35 points]

For each objective explained above, describe detail the activities that will be undertaken to meet each objective. Project activities should include:

- instruction in all aspects of the industry.
- educational technology in the delivery of the program.
- distance learning in the delivery of the program.
- work-based or work-site learning (e.g., work experience, mentoring, and internships) in the delivery of the program.
- effective employment placement activities or at least one program plan of study and its articulation or transfer of students to a certificate or two-year associate in applied science or associate in occupational studies or a four-year baccalaureate degree program.

3. Evaluation Plan [15 points]

Describe how the program will be evaluated. The description should include the following factors:

- methods of data collection and analysis.
- specific quantifiable measurements that will be used to assess the effectiveness of the project activities.
- realistic benchmarks that will be applied to the measurable goals.
- who will be responsible for the evaluation component and how the evaluation results will be used to refine, improve, and strengthen the program.

4. Management and Staffing [15 points]

4a. Describe how the program will be managed and staffed. Include in the description: **[10 Points]**

- experience in administration, coordination, and assessment of Tech-Prep-type educational programs of proposed management and staff.
- detailed plan for administering all program components
- qualifications of staff or, where staff remain to be selected, the qualifications for the position(s).

4b. Steering Committee Governance [5 points]

- Describe the composition and the governance structure of the steering committee in terms of its reporting structure, leadership capacity, and commitment to the operation of an excellent Career Pathways Program with tech-prep activities. A collaborative decision-making process for planning and implementation must be used.
- Provide evidence of commitment from business and industry and labor organizations.
- Describe the expertise, role, and responsibility of each consortium member.

Each member of the steering committee must check their affiliation and print and sign their name below attesting to their review and approval of this application.

(Duplicate as necessary)

Career Clusters/Career Pathways Form

Name of National Career Cluster www.careerclusters.org	Name of National Career Pathway (Please provide at least one Career Pathway (CP) to be developed in the space below)
	Name of 1st CP Program Plan of Study (POS) and description:
	Name of 2nd CP Program Plan of Study (POS) and description:
	Name of 3rd CP Program Plan of Study (POS) and description:

Consortium Members Form

Fiscal Agency:	
Name of Project Contact: Title of Project Contact:	Project #: 8080-__-____
Projected Number of All Students Meeting the Tech-Prep Definition:	Male (M): _____ Female (F): _____ Total: _____
Projected Number of <u>Secondary</u> Students taking at Least TWO Tech-Prep Courses:	
<ul style="list-style-type: none"> • Of these, the number taking a <u>complete</u> Tech-Prep Program (math, science, communications and technology): 	
Projected Number of <u>Postsecondary</u> Students who are in an articulated Tech-Prep program:	

Consortium Members By Category	Names of Consortium Members (Please mark high need districts with an asterisk)
Schools (Grades 9-12):	
BOCES	
Two-Year Colleges:	
Four-Year Colleges:	
Businesses:	
Other:	

Please duplicate as needed)

One Year LOCAL CPP TRANSITION PLAN Form 2007-2008

Fiscal Agency:

Name of Project Contact:

Project #: 8080-08- _ _ _ _

Title of Project Contact:

Please provide a synopsis of the one-year plan being developed that will ensure compliance with the State Transition Plan to be located at (<http://www.emsc.nysed.gov/cte/techprep/>) via continued collaborative efforts leading to the Career Pathways Program (CPP) Consortium's establishment of Program Plans of Study by enhancing and expanding tech prep activities during the period July 1, 2007 to June 30, 2008 of funding.

**Budget Category and Narrative Forms,
And Budget Summary Form (Fs-20)
[20 Points]**

On the following Budget Category and Narrative Forms provide an itemized budget along with a brief narrative of how the requested funds will be used and how the proposed expenditures are appropriate, reasonable and necessary to support the project activities and goals. Include a description of how the expenditures and activities are supplemental to and do not supplant or duplicate services currently provided.

Transfer the totals from each Budget Category and Narrative form to the FS-20 budget. The FS-20 should have the original signature of the Chief Administrative Officer.

Budget Category and Narrative Forms

Salaries for Professional Staff: Code 15

Include only staff that is employees of the agency. Do not include consultants or per diem staff. Do not include central administrative staff that is considered to be indirect costs, e.g., business office staff. One full-time equivalent (FTE) equals one person working an entire week for each week of the project. Express partial FTE's in decimals, e.g., a teacher working one day per week equals .125 FTE.

Specific Position Titles	Full-time Equivalents	Proposed Expenditure
TOTAL, transfer to FS-20, Budget Summary Form		

In the space below, please describe how the positions identified above will support the project activities and contribute to program goals.

Salaries for Support Staff: Code 16

Include salaries for teacher aides, secretarial and clerical assistance, and for personnel in pupil transportation and building operation and maintenance. Do not include administrative staff that is considered to be indirect costs, e.g., account clerks.

Specific Position Titles	Full-time Equivalents	Proposed Expenditure
TOTAL, transfer to FS-20. Budget Summary Form		

In the space below, please describe how the positions identified above will support the project activities and contribute to program goals.

Purchased Services: Code 40

Identify the type of expenditure by general category (i.e., consultants, rentals, tuition, printing, communications, and other contractual services). Purchased Services from a BOCES, if other than the applicant agency, should ***not*** be budgeted under this expenditure category. Use Purchased Services with BOCES, Code 49.

An agency cannot purchase services from themselves. Copies of contracts may be requested by the State Education Department.

Description of Item	Proposed Expenditure
TOTAL (transfer to FS-20, Budget Summary Form)	

In the space below, describe how the purchased services itemized above will support the project activities and contribute to the program goals.

Supplies and Materials and Equipment Less Than \$5,000: Code 45

Identify the type of supplies or materials by general category (i.e., instructional, office, books, computer software, and items of equipment with a unit cost less than \$5,000).

Description of Category	Proposed Expenditure
TOTAL (transfer to FS-20, Budget Summary Form)	

In the space below, please describe how the supplies and materials and equipment less than \$5,000 itemized above will support the project activities and contribute to the program goals.

Travel Expenses: Code 46

Identify purpose of travel (i.e., student transportation, staff travel between instructional sites, student field trips – if specifically allowed by the grant, etc.) and the proposed expenditure.

Include travel expenses for conference costs, out-of-state travel and costs for staff development programs, if allowable expenditures.

Purpose	Proposed Expenditure
TOTAL (transfer to FS-20, Budget Summary Form)	

In the space below, please describe how the travel expenses itemized above will support the project activities and contribute to the program goals. Detail must be provided for student field trips, out-of-state travel and conferences.

Employee Benefits: Code 80

Agencies may choose to calculate the proposed Employee Benefits using their agency's Fringe Benefits (FB) rate or itemizing the specific benefits. The FB Rate for project personnel must be the same as those used for other agency personnel. Only the Employee Benefits, which are attributable to the professional and support staff identified in Codes 15 and 16 may be included in this section.

Complete either Section I or Section II.

Section I – Calculation of Fringe Benefits (FB) using the Agency's FB rate.

Agency Fringe Benefit Rate	Project Salaries	Proposed Expenditure
TOTAL (transfer to FS-20 Budget Summary Form)		

Section II – Itemize Specific Categories of Benefits

Benefit	Proposed Expenditure
Social Security, Retirement (NYS Teachers, NYS Employees, Other), Health Insurance, Worker's Compensation, Unemployment Insurance, Other (Identify)	
TOTAL (transfer to FS-20 Budget Summary Form)	

Indirect Cost: Code 90

Refer to the Fiscal Guidelines for further instructions regarding Modified Direct Cost Base and the Approved Restricted Indirect Cost Rate.

A. Modified Direct Cost Base – Sum of all preceding totals (codes 15, 16, 40, 45, 46 and 80) and excludes the portion of each subcontract exceeding \$25,000 and any flow through funds.	\$	(A)
B. Approved Restricted Indirect Cost Rate	%	(B)
C. (A) x (B) = Total Indirect Cost (transfer to FS-20)	\$	(C)
TOTAL (transfer A,B,C totals to FS-20 Budget Summary Form)		

Purchased Services with BOCES: Code 49

Describe the services to be purchased, the name of the BOCES and the proposed amount.

Description of Services	Proposed Expenditure
TOTAL, transfer to FS-20, Budget Summary Form	

In the space below, please describe how the Purchased Services with BOCES itemized above will support the project activities and contribute to the program goals.

Minor Remodeling: Code 30

Allowable costs include salaries, associated employee benefits, purchased services, and supplies and materials related to alterations to existing sites.

Description of Work to be Performed	Proposed Expenditures
TOTAL (transfer to FS-20)	

In the space below, please describe why the alteration(s) to an existing site is necessary and how it will support the project activities and contribute to the program goals.

Equipment: Code 20

All equipment to be purchased in support of this project with a unit cost of \$5,000 or more should be itemized in this category. Equipment items under \$5,000 should be budgeted and justified under Supplies and Materials, Code 45. Repairs of equipment should be budgeted under Purchased Services, Code 40. Prior approval is required for all equipment purchases; see Fiscal Guidelines for additional information.

Description of Item	Quantity	Unit Cost	Proposed Expenditure
TOTAL (transfer to FS-20, Budget Summary Form)			

In the space below, please describe how the equipment itemized above will support the project activities and contribute to the program goals.

Required for Federal and State Discretionary Grant Programs

APPENDIX A **STANDARD CLAUSES FOR NYS CONTRACTS**

The parties to the attached contract, license, lease, amendment or other agreement of any kind (hereinafter, "the contract" or "this contract") agree to be bound by the following clauses which are hereby made a part of the contract (the word "Contractor" herein refers to any party other than the State, whether a contractor, licensor, licensee, lessor, lessee or any other party):

1. EXECUTORY CLAUSE. In accordance with Section 41 of the State Finance Law, the State shall have no liability under this contract to the Contractor or to anyone else beyond funds appropriated and available for this contract.

2. NON-ASSIGNMENT CLAUSE. In accordance with Section 138 of the State Finance Law, this contract may not be assigned by the Contractor or its right, title or interest therein assigned, transferred, conveyed, sublet or otherwise disposed of without the previous consent, in writing, of the State and any attempts to assign the contract without the State's written consent are null and void. The Contractor may, however, assign its right to receive payment without the State's prior written consent unless this contract concerns Certificates of Participation pursuant to Article 5-A of the State Finance Law.

3. COMPTROLLER'S APPROVAL. Unless exempt by law or the Office of the State Comptroller's policy, in accordance with Section 112 of the State Finance Law (or, if this contract is with the State University or City University of New York, Section 355 or Section 6218 of the Education Law), if this contract exceeds \$50,000 (or the minimum thresholds agreed to by the Office of the State Comptroller for certain S.U.N.Y. and C.U.N.Y. contracts), or if this is an amendment for any amount to a contract which, as so amended, exceeds said statutory amount, or if, by this contract, the State agrees to give something other than money when the value or reasonably estimated value of such consideration exceeds \$10,000, it shall not be valid, effective or binding upon the State until it has been approved by the State Comptroller and filed in his office. Comptroller's approval of contracts let by the Office of General Services is required when such contracts exceed \$85,000 (State Finance Law Section 163.6.a).

4. WORKERS' COMPENSATION BENEFITS. In accordance with Section 142 of the State Finance Law, this contract shall be void and of no force and effect unless the Contractor shall provide and maintain coverage during the life of this contract for the benefit of such employees as are required to be covered by the provisions of the Workers' Compensation Law.

5. NON-DISCRIMINATION REQUIREMENTS. To the extent required by Article 15 of the Executive Law (also known as the Human Rights Law) and all other State and Federal statutory and constitutional non-discrimination provisions, the Contractor will not discriminate against any employee or applicant for employment because of race, creed,

color, sex, national origin, sexual orientation, age, disability, genetic predisposition or carrier status, or marital status. Furthermore, in accordance with Section 220-e of the Labor Law, if this is a contract for the construction, alteration or repair of any public building or public work or for the manufacture, sale or distribution of materials, equipment or supplies, and to the extent that this contract shall be performed within the State of New York, Contractor agrees that neither it nor its subcontractors shall, by reason of race, creed, color, disability, sex, or national origin: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. If this is a building service contract as defined in Section 230 of the Labor Law, then, in accordance with Section 239 thereof, Contractor agrees that neither it nor its subcontractors shall by reason of race, creed, color, national origin, age, sex or disability: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. Contractor is subject to fines of \$50.00 per person per day for any violation of Section 220-e or Section 239 as well as possible termination of this contract and forfeiture of all moneys due hereunder for a second or subsequent violation.

6. WAGE AND HOURS PROVISIONS. If this is a public work contract covered by Article 8 of the Labor Law or a building service contract covered by Article 9 thereof, neither Contractor's employees nor the employees of its subcontractors may be required or permitted to work more than the number of hours or days stated in said statutes, except as otherwise provided in the Labor Law and as set forth in prevailing wage and supplement schedules issued by the State Labor Department. Furthermore, Contractor and its subcontractors must pay at least the prevailing wage rate and pay or provide the prevailing supplements, including the premium rates for overtime pay, as determined by the State Labor Department in accordance with the Labor Law.

7. NON-COLLUSIVE BIDDING CERTIFICATION. In accordance with Section 139-d of the State Finance Law, if this contract was awarded based upon the submission of bids, Contractor affirms, under penalty of perjury, that its bid was arrived at independently and without collusion aimed at restricting competition. Contractor further affirms that, at the time Contractor submitted its bid, an authorized and responsible person executed and delivered to the State a non-collusive bidding certification on Contractor's behalf.

8. INTERNATIONAL BOYCOTT PROHIBITION. In accordance with Section 220-f of the Labor Law and Section 139-h of the State Finance Law, if this contract exceeds \$5,000, the Contractor agrees, as a material condition of the contract, that neither the Contractor nor any substantially owned or affiliated person, firm, partnership or corporation has participated, is participating, or shall participate in an international boycott in violation of the federal Export Administration Act of 1979 (50 USC App. Sections 2401 et seq.) or regulations thereunder. If such Contractor, or any of the aforesaid affiliates of Contractor, is convicted or is otherwise found to have violated said laws or regulations upon the final determination of the United States Commerce Department or any other appropriate agency of the United States subsequent to the

contract's execution, such contract, amendment or modification thereto shall be rendered forfeit and void. The Contractor shall so notify the State Comptroller within five (5) business days of such conviction, determination or disposition of appeal (2NYCRR 105.4).

9. SET-OFF RIGHTS. The State shall have all of its common law, equitable and statutory rights of set-off. These rights shall include, but not be limited to, the State's option to withhold for the purposes of set-off any moneys due to the Contractor under this contract up to any amounts due and owing to the State with regard to this contract, any other contract with any State department or agency, including any contract for a term commencing prior to the term of this contract, plus any amounts due and owing to the State for any other reason including, without limitation, tax delinquencies, fee delinquencies or monetary penalties relative thereto. The State shall exercise its set-off rights in accordance with normal State practices including, in cases of set-off pursuant to an audit, the finalization of such audit by the State agency, its representatives, or the State Comptroller.

10. RECORDS. The Contractor shall establish and maintain complete and accurate books, records, documents, accounts and other evidence directly pertinent to performance under this contract (hereinafter, collectively, "the Records"). The Records must be kept for the balance of the calendar year in which they were made and for six (6) additional years thereafter. The State Comptroller, the Attorney General and any other person or entity authorized to conduct an examination, as well as the agency or agencies involved in this contract, shall have access to the Records during normal business hours at an office of the Contractor within the State of New York or, if no such office is available, at a mutually agreeable and reasonable venue within the State, for the term specified above for the purposes of inspection, auditing and copying. The State shall take reasonable steps to protect from public disclosure any of the Records which are exempt from disclosure under Section 87 of the Public Officers Law (the "Statute") provided that: (i) the Contractor shall timely inform an appropriate State official, in writing, that said records should not be disclosed; and (ii) said records shall be sufficiently identified; and (iii) designation of said records as exempt under the Statute is reasonable. Nothing contained herein shall diminish, or in any way adversely affect, the State's right to discovery in any pending or future litigation.

11. IDENTIFYING INFORMATION AND PRIVACY NOTIFICATION. (a) FEDERAL EMPLOYER IDENTIFICATION NUMBER and/or FEDERAL SOCIAL SECURITY NUMBER. All invoices or New York State standard vouchers submitted for payment for the sale of goods or services or the lease of real or personal property to a New York State agency must include the payee's identification number, i.e., the seller's or lessor's identification number. The number is either the payee's Federal employer identification number or Federal social security number, or both such numbers when the payee has both such numbers. Failure to include this number or numbers may delay payment. Where the payee does not have such number or numbers, the payee, on its invoice or New York State standard voucher, must give the reason or reasons why the payee does not have such number or numbers.

(b) PRIVACY NOTIFICATION. (1) The authority to request the above personal information from a seller of goods or services or a lessor of real or personal property, and the authority to maintain such information, is found in Section 5 of the State Tax Law. Disclosure of this information by the seller or lessor to the State is mandatory. The principal purpose for which the information is collected is to enable the State to identify individuals, businesses and others who have been delinquent in filing tax returns or may have understated their tax liabilities and to generally identify persons affected by the taxes administered by the Commissioner of Taxation and Finance. The information will be used for tax administration purposes and for any other purpose authorized by law.

(2) The personal information is requested by the purchasing unit of the agency contracting to purchase the goods or services or lease the real or personal property covered by this contract or lease. The information is maintained in New York State's Central Accounting System by the Director of Accounting Operations, Office of the State Comptroller, 110 State Street, Albany, New York 12236.

12. EQUAL EMPLOYMENT OPPORTUNITIES FOR MINORITIES AND WOMEN. In accordance with Section 312 of the Executive Law, if this contract is: (i) a written agreement or purchase order instrument, providing for a total expenditure in excess of \$25,000.00, whereby a contracting agency is committed to expend or does expend funds in return for labor, services, supplies, equipment, materials or any combination of the foregoing, to be performed for, or rendered or furnished to the contracting agency; or (ii) a written agreement in excess of \$100,000.00 whereby a contracting agency is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon; or (iii) a written agreement in excess of \$100,000.00 whereby the owner of a State assisted housing project is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon for such project, then:

(a) The Contractor will not discriminate against employees or applicants for employment because of race, creed, color, national origin, sex, age, disability or marital status, and will undertake or continue existing programs of affirmative action to ensure that minority group members and women are afforded equal employment opportunities without discrimination. Affirmative action shall mean recruitment, employment, job assignment, promotion, upgradings, demotion, transfer, layoff, or termination and rates of pay or other forms of compensation;

(b) at the request of the contracting agency, the Contractor shall request each employment agency, labor union, or authorized representative of workers with which it has a collective bargaining or other agreement or understanding, to furnish a written statement that such employment agency, labor union or representative will not discriminate on the basis of race, creed, color, national origin, sex, age, disability or marital status and that such union or representative will affirmatively cooperate in the implementation of the contractor's obligations herein; and

(c) the Contractor shall state, in all solicitations or advertisements for employees, that, in the performance of the State contract, all qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status.

Contractor will include the provisions of "a", "b", and "c" above, in every subcontract over \$25,000.00 for the construction, demolition, replacement, major repair, renovation, planning or design of real property and improvements thereon (the "Work") except where the Work is for the beneficial use of the Contractor. Section 312 does not apply to: (i) work, goods or services unrelated to this contract; or (ii) employment outside New York State; or (iii) banking services, insurance policies or the sale of securities. The State shall consider compliance by a contractor or subcontractor with the requirements of any federal law concerning equal employment opportunity which effectuates the purpose of this section. The contracting agency shall determine whether the imposition of the requirements of the provisions hereof duplicate or conflict with any such federal law and if such duplication or conflict exists, the contracting agency shall waive the applicability of Section 312 to the extent of such duplication or conflict. Contractor will comply with all duly promulgated and lawful rules and regulations of the Governor's Office of Minority and Women's Business Development pertaining hereto.

13. CONFLICTING TERMS. In the event of a conflict between the terms of the contract (including any and all attachments thereto and amendments thereof) and the terms of this Appendix A, the terms of this Appendix A shall control.

14. GOVERNING LAW. This contract shall be governed by the laws of the State of New York except where the Federal supremacy clause requires otherwise.

15. LATE PAYMENT. Timeliness of payment and any interest to be paid to Contractor for late payment shall be governed by Article 11-A of the State Finance Law to the extent required by law.

16. NO ARBITRATION. Disputes involving this contract, including the breach or alleged breach thereof, may not be submitted to binding arbitration (except where statutorily authorized), but must, instead, be heard in a court of competent jurisdiction of the State of New York.

17. SERVICE OF PROCESS. In addition to the methods of service allowed by the State Civil Practice Law & Rules ("CPLR"), Contractor hereby consents to service of process upon it by registered or certified mail, return receipt requested. Service hereunder shall be complete upon Contractor's actual receipt of process or upon the State's receipt of the return thereof by the United States Postal Service as refused or undeliverable. Contractor must promptly notify the State, in writing, of each and every change of address to which service of process can be made. Service by the State to the last known address shall be sufficient. Contractor will have thirty (30) calendar days after service hereunder is complete in which to respond.

18. PROHIBITION ON PURCHASE OF TROPICAL HARDWOODS. The Contractor certifies and warrants that all wood products to be used under this contract award will be in accordance with, but not limited to, the specifications and provisions of State Finance Law §165. (Use of Tropical Hardwoods) which prohibits purchase and use of tropical hardwoods, unless specifically exempted, by the State or any governmental agency or political subdivision or public benefit corporation. Qualification for an exemption under this law will be the responsibility of the contractor to establish to meet with the approval of the State.

In addition, when any portion of this contract involving the use of woods, whether supply or installation, is to be performed by any subcontractor, the prime Contractor will indicate and certify in the submitted bid proposal that the subcontractor has been informed and is in compliance with specifications and provisions regarding use of tropical hardwoods as detailed in §165 State Finance Law. Any such use must meet with the approval of the State; otherwise, the bid may not be considered responsive. Under bidder certifications, proof of qualification for exemption will be the responsibility of the Contractor to meet with the approval of the State.

19. MACBRIDE FAIR EMPLOYMENT PRINCIPLES. In accordance with the MacBride Fair Employment Principles (Chapter 807 of the Laws of 1992), the Contractor hereby stipulates that the Contractor either (a) has no business operations in Northern Ireland, or (b) shall take lawful steps in good faith to conduct any business operations in Northern Ireland in accordance with the MacBride Fair Employment Principles (as described in Section 165 of the New York State Finance Law), and shall permit independent monitoring of compliance with such principles.

20. OMNIBUS PROCUREMENT ACT OF 1992. It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority and women-owned business enterprises as bidders, subcontractors and suppliers on its procurement contracts.

Information on the availability of New York State subcontractors and suppliers is available from:

NYS Department of Economic Development
Division for Small Business
30 South Pearl St -- 7th Floor
Albany, New York 12245
Telephone: 518-292-5220
Fax: 518-292-5884
<http://www.empire.state.ny.us>

A directory of certified minority and women-owned business enterprises is available from:

NYS Department of Economic Development
Division of Minority and Women's Business Development
30 South Pearl St -- 2nd Floor
Albany, New York 12245
Telephone: 518-292-5250
Fax: 518-292-5803
<http://www.empire.state.ny.us>

The Omnibus Procurement Act of 1992 requires that by signing this bid proposal or contract, as applicable, Contractors certify that whenever the total bid amount is greater than \$1 million:

- (a) The Contractor has made reasonable efforts to encourage the participation of New York State Business Enterprises as suppliers and subcontractors, including certified minority and women-owned business enterprises, on this project, and has retained the documentation of these efforts to be provided upon request to the State;
- (b) The Contractor has complied with the Federal Equal Opportunity Act of 1972 (P.L. 92-261), as amended;
- (c) The Contractor agrees to make reasonable efforts to provide notification to New York State residents of employment opportunities on this project through listing any such positions with the Job Service Division of the New York State Department of Labor, or providing such notification in such manner as is consistent with existing collective bargaining contracts or agreements. The Contractor agrees to document these efforts and to provide said documentation to the State upon request; and
- (d) The Contractor acknowledges notice that the State may seek to obtain offset credits from foreign countries as a result of this contract and agrees to cooperate with the State in these efforts.

21. RECIPROCITY AND SANCTIONS PROVISIONS. Bidders are hereby notified that if their principal place of business is located in a country, nation, province, state or political subdivision that penalizes New York State vendors, and if the goods or services they offer will be substantially produced or performed outside New York State, the Omnibus Procurement Act 1994 and 2000 amendments (Chapter 684 and Chapter 383, respectively) require that they be denied contracts which they would otherwise obtain. NOTE: As of May 15, 2002, the list of discriminatory jurisdictions subject to this provision includes the states of South Carolina, Alaska, West Virginia, Wyoming, Louisiana and Hawaii. Contact NYS Department of Economic Development for a current list of jurisdictions subject to this provision.

22. PURCHASES OF APPAREL. In accordance with State Finance Law 162 (4-a), the State shall not purchase any apparel from any vendor unable or unwilling to certify that:

- (i) such apparel was manufactured in compliance with all applicable labor and occupational safety laws, including, but not limited to, child labor laws, wage and hours

laws and workplace safety laws, and (ii) vendor will supply, with its bid (or, if not a bid situation, prior to or at the time of signing a contract with the State), if known, the names and addresses of each subcontractor and a list of all manufacturing plants to be utilized by the bidder. **(June 2006)**

APPENDIX A-1 G

General

- A. In the event that the Contractor shall receive, from any source whatsoever, sums the payment of which is in consideration for the same costs and services provided to the State, the monetary obligation of the State hereunder shall be reduced by an equivalent amount provided, however, that nothing contained herein shall require such reimbursement where additional similar services are provided and no duplicative payments are received.
- B. This agreement is subject to applicable Federal and State Laws and regulations and the policies and procedures stipulated in the NYS Education Department Fiscal Guidelines found at <http://www.nysed.gov/cafe/>.
- C. Continuation of this contract beyond June 30, 2006 and beyond June 30th of each succeeding year is contingent upon appropriation and availability of funds and approval by Division of the Budget and subject to approval by the Office of the State Comptroller in accordance with paragraph 3 of Appendix "A".

Terminations

- A. The State may terminate this Agreement without cause by thirty (30) days prior written notice. In the event of such termination, the parties will adjust the accounts due and the Contractor will undertake no additional expenditures not already required. Upon any such termination, the parties shall endeavor in an orderly manner to wind down activities hereunder.

Safeguards for Services and Confidentiality

- A. Any copyrightable work produced pursuant to said agreement shall be the sole and exclusive property of the New York State Education Department. The material prepared under the terms of this agreement by the Contractor shall be prepared by the Contractor in a form so that it will be ready for copyright in the name of the New York State Education Department. Should the Contractor use the services of consultants or other organizations or individuals who are not regular employees of the Contractor, the Contractor and such organization or individual shall, prior to the performance of any work pursuant to this agreement, enter into a written agreement, duly executed, which shall set forth the services to be provided by such organization or individual and the consideration therefore. Such agreement shall provide that any copyrightable work produced pursuant to said agreement shall be the sole and exclusive property of the New York State Education Department and that such work shall be prepared in a form ready for copyright by the New York State Education Department. A copy of such agreement shall be provided to the State.

- B. All reports of research, studies, publications, workshops, announcements, and other activities funded as a result of this proposal will acknowledge the support provided by the State of New York.
- C. This agreement cannot be modified, amended, or otherwise changed except by a written agreement signed by all parties to this contract.
- D. No failure to assert any rights or remedies available to the State under this agreement shall be considered a waiver of such right or remedy or any other right or remedy unless such waiver is contained in a writing signed by the party alleged to have waived its right or remedy.
- E. Expenses for travel, lodging, and subsistence shall be reimbursed in accordance with the policies stipulated in the aforementioned Fiscal guidelines.
- F. No fees shall be charged by the Contractor for training provided under this agreement.
- G. Nothing herein shall require the State to adopt the curriculum developed pursuant to this agreement.
- H. All inquiries, requests, and notifications regarding this agreement shall be directed to the Program Contact or Fiscal Contact shown on the Grant Award included as part of this agreement.
- I. This agreement, including all appendices, is, upon signature of the parties and the approval of the Attorney General and the State Comptroller, a legally enforceable contract. Therefore, a signature on behalf of the Contractor will bind the Contractor to all the terms and conditions stated therein.
- J. The parties to this agreement intend the foregoing writing to be the final, complete, and exclusive expression of all the terms of their agreement.

Grant Applicant Information

Funding Source: _____

Report Prepared By: _____

Name of Applicant: _____

Mailing Address: _____

Street		
_____	_____	_____
City	State	Zip Code

Telephone #: _____ County: _____

E-Mail Address: _____

Project Funding Dates: _____ / _____ / _____
Start End

INSTRUCTIONS

- ❖ Submit the original FS-20 Budget Summary and the required number of copies along with the completed application directly to the appropriate State Education Department office as indicated in the application instructions for the grant program for which you are applying. DO NOT submit this form to the Grants Finance.
- ❖ Please submit the FS-20 Budget Summary as a two page form (not back-to-back on a single sheet).
- ❖ Enter whole dollar amounts only. The amounts must agree with the budget category totals from each Budget Category and Narrative Form.
- ❖ For changes in agency or payee address contact the State Education Department office indicated on the application instructions for the grant program for which you are applying.
- ❖ An approved copy of the FS-20 Budget Summary will be returned to the contact person noted above. A window envelope will be used; please make sure that the contact information is accurate, legible and confined to the address field.
- ❖ For information on budgeting, including 2005-06 **REVISED** guidelines for equipment and supplies, refer to the Fiscal Guidelines for Federal and State Aided Grants at www.oms.nysed.gov/cafe/.

BUDGET SUMMARY

FS-20
Page 2

CATEGORIES	CODE	PROJECT COSTS
Professional Salaries	15	
Support Staff Salaries	16	
Purchased Services	40	
Supplies and Materials	45	
Travel Expenses	46	
Employee Benefits	80	
Indirect Cost (IC)* (Amount from "C" below)	90	
BOCES Services	49	
Minor Remodeling	30	
Equipment	20	
Grand Total		

*A. Modified Direct Cost Base

\$

B. Approved Restricted IC Rate

%

C. (A) x (B) = Indirect Cost
(Be sure to put total in Code 90 above)

\$

CHIEF ADMINISTRATOR'S CERTIFICATION

I hereby certify that the requested budget amounts are necessary for the implementation of this project and that this agency is in compliance with applicable Federal and State laws and regulations.

Date

Signature

Name and Title of Chief Administrative Officer

Agency Code

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--	--	--	--

Project #

--	--	--	--

--	--

--	--	--	--

Contract #

--	--	--	--	--	--	--

Agency Name: _____

FOR DEPARTMENT USE ONLY

Approved

Funding Dates: _____

From

To

Program Approval: _____

Date: _____

Fiscal Year

First Payment

Line #

Voucher #

First Payment

Finance: Log _____

Approved _____

MIR _____

2007 Perkins Title II Career Pathways in Tech Prep Program

Scoring Rubric

Applicant:	Total Score:
	Reviewer Initials:

Rating Guidelines:

- Very Good -** Specific and comprehensive. Complete, detailed, and clearly articulated information as to how the criteria are met. Well-conceived and thoroughly developed ideas.
- Good -** General but sufficient detail. Adequate information as to how the criteria are met, but some areas are not fully explained and/or questions remain. Some minor inconsistencies and weaknesses.
- Fair -** Sketchy and non-specific. Criteria appear to be minimally met, but limited information is provided about approach and strategies. Lacks focus and detail.
- Poor -** Does not meet the criteria, fails to provide information, provides inaccurate information, or provides information that requires substantial clarification as to how the criteria are met.
- N/A -** Does not address the criteria or simply re-states the criteria.

Raters must use the point values below in determining the score for each item of the Project Description and Budget by circling the appropriate points.

Project Narrative Description	Very Good	Good	Fair	Poor	N/A
1) Project Design [15 points]					
A. Objectives are realistic, precise, comprehensive and address the goals.	5.00	3.75	2.50	1.25	0
B. Objectives are stated in specific terms with measurable outcomes.	5.00	3.75	2.50	1.25	0
C. Objectives are developed in consultation with business, industry and labor unions (evidence required).	5.00	3.75	2.50	1.25	0

2. Project Activities [35 points]					
For each objective explained above, a detailed description of the activities to be undertaken to meet each objective includes:					
A. instruction in all aspects of the industry.	5.00	3.75	2.50	1.25	0
B. educational technology in the delivery of the program..	5.00	3.75	2.50	1.25	0
C. distance learning in the delivery of the program.	5.00	3.75	2.50	1.25	0
D. work-based or work-site learning (e.g., work experience, mentoring, and internships) in the delivery of the program.	5.00	3.75	2.50	1.25	0

E. effective employment placement activities or at least one Program Plan of Study and its articulation involving a transfer of students to a certificate or a two-year associate in applied science or associate in occupational studies or a four-year baccalaureate degree program..	15.00	11.25	7.50	3.75	0
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3) Evaluation Plan [15 points] The description of the evaluation includes the following factors:					
A. methods of data collection and analysis.	5.00	3.75	2.50	1.25	0
B. realistic benchmarks that will be applied to the measurable goals.	5.00	3.75	2.50	1.25	0
C. who will be responsible for the evaluation component and how the evaluation results will be used to refine, improve, and strengthen the program.	5.00	3.75	2.50	1.25	0

4) Management and Staffing [15 points]					
4a.) A detailed description of how the program will be managed and staffed includes: [10 points]					
A. experience in administration, coordination, and assessment of Tech-Prep educational programs	5.00	3.75	2.50	1.25	0
B. detailed plan for administering all program components.	3.00	2.25	1.50	.75	0
C. qualifications of staff	2.00	1.25	.75	.50	0
4b.) Steering Committee Governance [5 points]					
A. A description of the composition and the governance structure of the steering committee in terms of its reporting structure, leadership capacity, and commitment to the operation of an excellent Career Pathways Program with tech-prep activities is included along with a how the collaborative decision-making process for planning and implementation will be accomplished	3.00	2.25	1.50	.75	0
B. Evidence of commitment from business and industry and labor organizations..	1.00	.75	.50	.25	0
C. Includes descriptions of the expertise, role, and responsibility of each consortium member.	1.00	.75	.50	.25	0

Proposed Budget	Very Good	Good	Fair	Poor	N/A
5) Budget Category and Narrative Forms (20 points). The Budget Category and Narrative Forms provide the following:					
A. An itemized budget along with a brief narrative of how the requested funds will be used.	10.00	7.50	5.00	2.50	0
B. A description of how the proposed expenditures are appropriate, reasonable, and necessary to support the project activities and goals.	10.00	7.50	5.00	2.50	0

Total Score: () out of 100

Component Comments
1.
2.
3.
4.
5.

ATTACHMENT E

Nontraditional for Females-2004

BLS SOC Code	BLS Occupation Title	Percent Female	NCES CIP Code	NCES Education Program Title	USDOE Career Cluster
11-1011	Chief executive	23.3	44.0401	Public Administration	Business & Administration
					Government & Public Administration
			44.0501	Public Policy Analysis	Business & Administration
					Government & Public Administration
			44.9999	Public Administration & Services, Other	Business & Administration
					Government & Public Administration
			52.0101	Business/Commerce, General	Business & Administration
			52.0201	Business Administration/Management	Business & Administration
			52.0209	Transportation/Transportation Management	Business & Administration
			52.0701	Entrepreneurship/Entrepreneurial Studies	Business & Administration
			52.1101	International Business/Trade/Commerce	Business & Administration
11-3051	Industrial production manager	18.0	52.0101	Business/Commerce, General	Business & Administration
			52.0201	Business Administration/Management	Manufacturing
			52.0205	Operations Management & Supervision	Manufacturing
11-3071	Transportation, storage, and distribution manager	14.9	44.0401	Public Administration	Transportation, Distribution, & Logistics
			49.0101	Aeronautics/Aviation/Aerospace Science & Aviation/Airway Management & Operations	Transportation, Distribution, & Logistics
			49.0104	Aviation/Airway Management & Operations	Transportation, Distribution, & Logistics
			52.0101	Business/Commerce, General	Transportation, Distribution, & Logistics
			52.0201	Business Administration/Management	Transportation, Distribution, & Logistics
			52.0203	Logistics & Materials Management	Transportation, Distribution, & Logistics
			52.0203	Transportation/Transportation Management	Transportation, Distribution, & Logistics
11-9011	Farm, ranch and other agricultural manager	20.1	1.0101	Agricultural Business & Management, General	Agriculture/Natural Resource
			1.0102	Agribusiness/Agricultural Business Operations	Agriculture/Natural Resource
			1.0104	Farm/Farm & Ranch Management	Agriculture/Natural Resource
			1.0199	Agricultural Business & Management, Other	Agriculture/Natural Resource
			1.0301	Agricultural Production Operations, General	Agriculture/Natural Resource
			1.0302	Animal/Livestock Husbandry & Production	Agriculture/Natural Resource
			1.0304	Crop Production	Agriculture/Natural Resource
			1.0306	Dairy Husbandry & Production (New)	Agriculture/Natural Resource
			1.0307	Horse Husbandry/Equine Science & Agriculture	Agriculture/Natural Resource
			1.0399	Agricultural Production Operations, Other	Agriculture/Natural Resource
			1.0603	Ornamental Horticulture	Agriculture/Natural Resource
			1.0604	Greenhouse Operations & Management	Agriculture/Natural Resource
			1.0606	Plant Nursery Operations & Management	Agriculture/Natural Resource
			1.0901	Animal Sciences, General	Agriculture/Natural Resource
			1.0902	Agricultural Animal Breeding	Agriculture/Natural Resource
			1.0904	Animal Nutrition	Agriculture/Natural Resource
			1.0905	Dairy Science	Agriculture/Natural Resource
			1.0906	Livestock Management (New)	Agriculture/Natural Resource
			1.0907	Poultry Science (New)	Agriculture/Natural Resource
			1.1101	Plant Sciences, General	Agriculture/Natural Resource
			1.1102	Agronomy & Crop Science	Agriculture/Natural Resource
			1.1103	Horticultural Science	Agriculture/Natural Resource
			1.1105	Plant Protection & Integrated Pest Management	Agriculture/Natural Resource
			1.1106	Range Science & Management	Agriculture/Natural Resource
11-9021	Construction manager	6.4	15.1001	Construction Engineering	Architecture & Construction
			52.0201	Business Administration/Management	Architecture & Construction
			52.0101	Business/Commerce, General	Architecture & Construction
			52.0205	Operations Management & Supervision	Architecture & Construction
11-9041	Engineering manager	5.9	4.0201	Architecture (BArch, BA/BS, MArch, MA/MS, City/Urban, Community & Regional Planning	Scientific Research/Engineering
			4.0301	City/Urban, Community & Regional Planning	Scientific Research/Engineering
			4.0401	Environmental Design/Architecture	Scientific Research/Engineering
			4.0501	Interior Architecture	Scientific Research/Engineering
			4.0601	Landscape Architecture (BS, BSLA, BLA, Engineering, General	Scientific Research/Engineering
			14.0101	Engineering, General	Scientific Research/Engineering
			14.0201	Aerospace, Aeronautical & Astronautical	Scientific Research/Engineering
			14.0301	Agricultural/Biological Engineering & Architectural Engineering	Scientific Research/Engineering
			14.0401	Architectural Engineering	Scientific Research/Engineering
			14.0501	Biomedical/Medical Engineering	Scientific Research/Engineering
			14.0601	Ceramic Sciences & Engineering	Scientific Research/Engineering
			14.0701	Chemical Engineering	Scientific Research/Engineering
			14.0801	Civil Engineering, General	Scientific Research/Engineering
			14.0802	Geotechnical Engineering	Scientific Research/Engineering
			14.0803	Structural Engineering	Scientific Research/Engineering
			14.0804	Transportation & Highway Engineering	Scientific Research/Engineering
			14.0805	Water Resources Engineering	Scientific Research/Engineering
			14.0899	Civil Engineering, Other	Scientific Research/Engineering
			14.0901	Computer Engineering, General	Scientific Research/Engineering
			14.0902	Computer Hardware Engineering (New)	Scientific Research/Engineering
			14.0903	Computer Software Engineering (New)	Scientific Research/Engineering

Nontraditional for Females-2004

BLS SOC Code	BLS Occupation Title	Percent Female	NCES CIP Code	NCES Education Program Title	USDOE Career Cluster
			14.0999	Computer Engineering, Other (New)	Scientific Research/Engineering
			14.1001	Electrical, Electronics & Communications	Scientific Research/Engineering
			14.1101	Engineering Mechanics	Scientific Research/Engineering
			14.1201	Engineering Physics	Scientific Research/Engineering
			14.1301	Engineering Science	Scientific Research/Engineering
			14.1401	Environmental/Environmental Health	Scientific Research/Engineering
			14.1801	Materials Engineering	Scientific Research/Engineering
			14.1901	Mechanical Engineering	Scientific Research/Engineering
			14.2001	Metallurgical Engineering	Scientific Research/Engineering
			14.2101	Mining & Mineral Engineering	Scientific Research/Engineering
			14.2201	Naval Architecture & Marine Engineering	Scientific Research/Engineering
			14.2301	Nuclear Engineering	Scientific Research/Engineering
			14.2401	Ocean Engineering	Scientific Research/Engineering
			14.2501	Petroleum Engineering	Scientific Research/Engineering
			14.2701	Systems Engineering	Scientific Research/Engineering
			14.2801	Textile Sciences & Engineering	Scientific Research/Engineering
			14.3101	Materials Science	Scientific Research/Engineering
			14.3201	Polymer/Plastics Engineering	Scientific Research/Engineering
			14.3301	Construction Engineering (New)	Scientific Research/Engineering
			14.3401	Forest Engineering (New)	Scientific Research/Engineering
			14.3501	Industrial Engineering (New)	Scientific Research/Engineering
			14.3601	Manufacturing Engineering (New)	Scientific Research/Engineering
			14.3801	Surveying Engineering (New)	Scientific Research/Engineering
			14.3901	Geological/Geophysical Engineering (New)	Scientific Research/Engineering
			14.9999	Engineering, Other	Scientific Research/Engineering
13-1051	Cost estimator	17.7	14.1801	Materials Engineering	Architecture & Construction
			14.1901	Mechanical Engineering	Architecture & Construction
			14.3301	Construction Engineering (New)	Architecture & Construction
			14.3601	Manufacturing Engineering (New)	Architecture & Construction
			15.1001	Construction Engineering	Architecture & Construction
			52.0101	Business/Commerce, General (New)	Architecture & Construction
			52.0201	Business Administration/Management	Architecture & Construction
15-1071	Network and computer systems administrator	20.3	11.0101	Computer & Information Sciences, General	Information Technology
			11.0401	Information Science/Studies	Information Technology
			11.0501	Computer Systems Analysis/Analyst	Information Technology
			11.0901	Computer Systems Networking &	Information Technology
			11.1001	System Administration/Administrator (New)	Information Technology
			11.1002	System, Networking, & LAN/WAN	Information Technology
			11.1003	Computer & Information Systems Security	Information Technology
			11.9999	Computer & Information Sciences & Support	Information Technology
			11.1003	Computer & Information Systems Security	Information Technology
15-1081	Network systems and data communications analyst	21.9	11.0101	Computer & Information Sciences, General	Information Technology
			11.0103	Information Technology (New)	Information Technology
			11.0501	Computer Systems Analysis/Analyst	Information Technology
			11.0901	Computer Systems Networking &	Information Technology
			11.1003	Computer & Information Systems Security	Information Technology
17-1011	Architects, except naval	24.0	4.0201	Architecture (BArch, BA/BS, MArch, MA/MS,	Architecture & Construction
			4.0401	Environmental Design/Architecture	Architecture & Construction
			4.0801	Architectural History & Criticism (New)	Architecture & Construction
			4.9999	Architecture & Related Programs, Other	Architecture & Construction
17-2011	Aerospace engineer	11.3	14.0201	Aerospace, Aeronautical & Astronautical	Scientific Research/Engineering
17-2041	Chemical engineer	15.8	14.0701	Chemical Engineering	Scientific Research/Engineering
17-2051	Civil engineer	11.7	14.0801	Civil Engineering, General	Scientific Research/Engineering
			14.0804	Transportation & Highway Engineering	Scientific Research/Engineering
			14.0805	Water Resources Engineering	Scientific Research/Engineering
			14.0899	Civil Engineering, Other	Scientific Research/Engineering
17-2061	Computer hardware engineer	12.7	14.0901	Computer Engineering, General	Information Technology
			14.0902	Computer Hardware Engineering (New)	Information Technology
17-2071.2	Electrical and electronics engineer	7.9	14.1001	Electrical, Electronics & Communications	Scientific Research/Engineering
17-2110	Industrial engineer, including health and safety	18.8	14.1401	Environmental/Environmental Health	Scientific Research/Engineering
			14.3501	Industrial Engineering (New)	Scientific Research/Engineering
17-2141	Mechanical engineer	5.8	14.1901	Mechanical Engineering	Scientific Research/Engineering
17-3011,2,3,9	Drafter	23.7	4.0901	Architectural Technology/Technician (New)	Architecture & Construction
			15.1301	Crafting & Design Technology/Technician,	Architecture & Construction

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BLS SOC Code	BLS Occupation Title	Percent Female	NCES CIP Code	NCES Education Program Title	USDOE Career Cluster
			15.1302	CAD/CADD Drafting &/or Design	Architecture & Construction
			15.1303	Architectural Drafting & Architectural	Architecture & Construction
			15.1304	Civil Drafting & Civil Engineering CAD/CADD	Architecture & Construction
			15.1305	Electrical/Electronics Drafting &	Architecture & Construction
			15.1306	Mechanical Drafting & Mechanical Drafting	Architecture & Construction
			15.1399	Drafting/Design Engineering	Architecture & Construction
17-3021.2,3, 6,7,9	Engineering technician, except drafter	19.7	15.0101	Architectural Engineering	Manufacturing
			15.0201	Civil Engineering Technology/Technician	Manufacturing
			15.0303	Electrical, Electronic & Communications	Manufacturing
			15.0304	Laser & Optical Technology/Technician	Manufacturing
			15.0305	Telecommunications Technology/Technician	Manufacturing
			15.0399	Electrical & Electronic Engineering	Manufacturing
			15.0503	Energy Management & Systems	Manufacturing
			15.0505	Solar Energy Technology/Technician	Manufacturing
			15.0507	Environmental Engineering	Agriculture/Natural Resource
			15.0599	Environmental Control	Manufacturing
			15.0607	Plastics Engineering Technology/Technician	Manufacturing
			15.0611	Metallurgical Technology/Technician	Manufacturing
			15.0612	Industrial Technology/Technicians	Manufacturing
			15.0613	Manufacturing Technology/Technician (New)	Manufacturing
			15.0699	Industrial Production	Manufacturing
			15.0704	Hazardous Materials Information Systems	Agriculture/Natural Resource
			15.0801	Aeronautical/Aerospace Engineering	Transportation, Distribution, & Logistics
			15.0805	Mechanical Engineering/Mechanical	Manufacturing
			15.0899	Mechanical Engineering Related	Manufacturing
			15.0901	Mining Technology/Technician	Manufacturing
			15.0999	Mining & Petroleum Technologies/Technicians	Manufacturing
			15.1001	Construction Engineering	Manufacturing
			15.1103	Hydraulics & Fluid Power	Manufacturing
			15.1202	Computer Technology/Computer Systems	Manufacturing
			15.1501	Industrial Management (New)	Manufacturing
			15.9999	Engineering Related	Manufacturing
17-3030	Surveying and mapping technician	12.2	15.1102	Surveying Technology/Surveying	Scientific Research/Engineering
			45.0702	Cartography	Scientific Research/Engineering
21-2011	Clergy	15.0	39.0601	Theology/Theological Studies	Human Service
			39.0602	Divinity/Ministry (BD, MDiv.)	Human Service
			39.0605	Rabbinical Studies (M.H.L./Rav)	Human Service
			39.0604	Pre-Theology/Pre-Ministerial Studies	Human Service
			39.0699	Theological & ministerial Studies, Other	Human Service
			39.0701	Pastoral Studies/Counseling	Human Service
			39.0702	Youth Ministry (New)	Human Service
			39.0799	Pastoral Counseling & Specialized Ministries,	Human Service
			39.9999	Theological Studies & Religious Vocations,	Human Service
			51.1506	Clinical Pastoral Counseling/Patient	Human Service
27-3011	Announcer	21.6	1.0802	Agricultural Communications/Journalism	Arts, A/V Technology & Communication
			9.0402	Broadcast Journalism	Arts, A/V Technology & Communication
27-4011/2	Broadcast and sound engineering technician and radio operator	12.1	9.0701	Radio & Television	Arts, A/V Technology & Communication
			10.0105	Communications Technology/Technician	Arts, A/V Technology & Communication
			10.0201	Photographic & Film/Video	Arts, A/V Technology & Communication
			10.0202	Radio & Television Broadcasting	Arts, A/V Technology & Communication
			10.0203	Recording Arts Technology/Technician (New)	Arts, A/V Technology & Communication
			10.0299	Audiovisual Communications	Arts, A/V Technology & Communication
			47.0103	Communications Systems Installation & Repair	Law & Public Safety
29-1011	Chiropractor	22.7	51.0101	Chiropractic (DC)	Health Science
29-1021.2,3,4,9	Dentist	22.0	51.0401	Dentistry (DDS, DMD)	Health Science
			51.0501	Dental Clinical Sciences, General (MS, PhD)	Health Science
			51.0502	Advanced General Dentistry (Cert, MS, PhD)	Health Science
			51.0503	Oral Biology & Pathology (MS, PhD) (New)	Health Science
			51.0504	Dental Public Health & Education (Cert,	Health Science
			51.0505	Dental Materials (MS, PhD) (New)	Health Science
			51.0506	Endodontics/Endodontology (Cert, MS, PhD)	Health Science
			51.0507	Oral/Maxillofacial Surgery (Cert, MS, PhD)	Health Science
			51.0508	Orthodontics/Orthodontology (Cert, MS, PhD)	Health Science
			51.0509	Pediatric Dentistry/Pedodontics (Cert, MS,	Health Science
			51.0510	Periodontics/Periodontology (Cert, MS, PhD)	Health Science
			51.0511	Prosthodontics/Prosthodontology (Cert, MS,	Health Science
			51.0599	Advanced/Graduate Dentistry & Oral Sciences,	Health Science
			60.0101	Dental/Oral Surgery Specialty	Health Science
			60.0102	Dental Public Health Specialty	Health Science
			60.0103	Endodontics Specialty	Health Science
			60.0104	Oral Pathology Specialty	Health Science

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BLS SOC Code	BLS Occupation Title	Percent Female	NCES CIP Code	NCES Education Program Title	USDOE Career Cluster
			60.0105	Orthodontics Specialty	Health Science
			60.0106	Pedodontics Specialty	Health Science
			60.0107	Periodontics Specialty	Health Science
			60.0108	Prosthodontics Specialty	Health Science
			60.0199	Dental Residency Program, Other	Health Science
33-1012	Front-line supervisor/mgr of police and detectives	21.2	43.0102	Corrections	Law & Public Safety
			43.0103	Criminal Justice/Law Enforcement	Law & Public Safety
			43.0104	Criminal Justice/Safety Studies	Law & Public Safety
33-2011	Fire fighter	5.1	43.0203	Fire Science/Firefighting	Law & Public Safety
			43.0299	Fire Protection, Other	Law & Public Safety
33-3021	Detective and criminal investigator	20.2	43.0107	Criminal Justice/Police Science	Law & Public Safety
			43.0111	Criminalistics & Criminal Science (New)	Law & Public Safety
33-3051	Police and sheriff's patrol officer	13.3	43.0107	Criminal Justice/Police Science	Law & Public Safety
			43.0111	Criminalistics & Criminal Science (New)	Law & Public Safety
33-9031	Security guards and gaming surveillance officers	22.6	99.9990	No related CIP programs	Law & Public Safety
			43.0109	Security & Loss Prevention Services	Law & Public Safety
			43.0112	Securities Services	Law & Public Safety
35-1011	Chefs and head cooks	18.9	12.0503	Culinary Arts/Chef Training	Hospitality & Tourism
35-9021	Dishwashers	23.8	12.0505	Food Preparation/Professional Cooking/Kitchen	Hospitality & Tourism
37-1012	First-line supervisor/manager of landscaping, lawn service, and groundskeeping workers	8.1	1.0603	Ornamental Horticulture	Agriculture/Natural Resource
			1.0605	Landscaping & Groundskeeping	Agriculture/Natural Resource
			1.0607	Turf & Turfgrass Management	Agriculture/Natural Resource
37-2020	Pest control workers	7.1	1.0105	Agricultural/Farm Supplies Retailing &	Agriculture/Natural Resource
37-3011,2,3,9	Grounds maintenance workers	7.1	1.0601	Applied Horticulture/Horticultural Operations,	Agriculture/Natural Resource
			1.0605	Landscaping & Groundskeeping	Agriculture/Natural Resource
			1.0606	Plant Nursery Operations & Management	Agriculture/Natural Resource
			1.0607	Turf & Turfgrass Management	Agriculture/Natural Resource
			1.0699	Horticultural Service Operations, Other	Agriculture/Natural Resource
39-5011	Barber	18.4	12.0402	Barbering/Barber	Retail & Wholesale Sales & Service
39-6011	Baggage porters, bellhops, concierges	17.5	99.9990	No related CIP programs	Hospitality & Tourism
41-2022	Parts salesperson	12.4	52.1804	Selling Skills & Sales Operations	Retail & Wholesale Sales & Service
			52.1907	Vehicle Parts & Accessories Marketing	Retail & Wholesale Sales & Service
43-5020	Courier and messenger	14.8	99.9990	No related CIP programs	Business & Administration
45-1011	First-line supervisor/manager of farming, fishing	11.3	1.0104	Farm/Farm & Ranch Management	Agriculture/Natural Resource
			1.0199	Agricultural Business & Management, Other	Agriculture/Natural Resource
			1.0301	Agricultural Production Operations, General	Agriculture/Natural Resource
			1.0302	Animal/Livestock Husbandry & Production	Agriculture/Natural Resource
			1.0303	Aquaculture	Agriculture/Natural Resource
			1.0304	Crop Production	Agriculture/Natural Resource
			1.0306	Dairy Husbandry & Production (New)	Agriculture/Natural Resource
			1.0307	Horse Husbandry/Equine Science &	Agriculture/Natural Resource
			1.0399	Agricultural Production Operations, Other	Agriculture/Natural Resource
			1.0901	Animal Sciences, General	Agriculture/Natural Resource
			1.0902	Agricultural Animal Breeding	Agriculture/Natural Resource
			1.0904	Animal Nutrition	Agriculture/Natural Resource
			1.0905	Dairy Science	Agriculture/Natural Resource
			1.0906	Livestock Management (New)	Agriculture/Natural Resource
			1.0907	Poultry Science (New)	Agriculture/Natural Resource
			1.1101	Plant Sciences, General	Agriculture/Natural Resource
			1.1102	Agronomy & Crop Science	Agriculture/Natural Resource
			1.1106	Range Science & Management	Agriculture/Natural Resource
			1.9999	Agriculture, Agricultural Operations, & Related	Agriculture/Natural Resource
			3.0301	Fishing & Fisheries Sciences & Management	Agriculture/Natural Resource
45-4020	Logging worker	2.9	3.0510	Forest Resources Production & Management	Agriculture/Natural Resource
47-1010	First-line supervisor/manager of construction trade	2.2	46.0101	Masonry/Mason	Architecture & Construction
			46.0201	Carpentry/Carpenter	Architecture & Construction
			46.0301	Electrical & Power Transmission	Architecture & Construction
			46.0302	Electrician	Architecture & Construction
			46.0303	Lineworker	Architecture & Construction

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BLS SOC Code	BLS Occupation Title	Percent Female	NCES CIP Code	NCES Education Program Title	USDOE Career Cluster
			46.0399	Electrical & Power Transmission Installers,	Architecture & Construction
			46.0401	Building/property Maintenance and	Architecture & Construction
			46.0402	Concrete Finishing/Concrete Finisher (New)	Architecture & Construction
			46.0403	Building/Home/Construction	Architecture & Construction
			46.0404	Drywall Installation/Drywall (New)	Architecture & Construction
			46.0406	Glazier (New)	Architecture & Construction
			46.0408	Painting/Painter & Wall Coverer	Architecture & Construction
			46.0410	Roofer (New)	Architecture & Construction
			46.0412	Building/Construction Site	Architecture & Construction
			46.0499	Building/Construction Finishing, Management,	Architecture & Construction
			46.0503	Plumbing Technology/Plumber (New)	Architecture & Construction
			46.0504	Well Drilling/Driller (New)	Architecture & Construction
			46.0505	Blasting/Blaster (New)	Architecture & Construction
			46.9999	Building/Construction Trades, Other	Agriculture/Natural Resource
47-2021,2	Brickmason, blockmason, and stonemason	0.9	46.0101	Masonry/Mason	Architecture & Construction
47-2031	Carpenter	1.8	46.0201	Carpentry/Carpenter	Architecture & Construction
47-2041,2,3,4	Carpet, floor, and tile installer and finisher	1.9	46.9999	Building/Construction Trades, Other	Architecture & Construction
			46.0101	Masonry/Mason	Architecture & Construction
47-2051,3	Cement mason, concrete finisher, and terrazzo worker	0.2	46.0402	Concrete Finishing/Concrete Finisher (New)	Architecture & Construction
			46.0499	Building/property Maintenance and	Architecture & Construction
			46.0499	Building/Construction Finishing, Management,	Architecture & Construction
47-2061	Construction laborer	3.2	46.9999	Building/Construction Trades, Other	Architecture & Construction
47-2071	Operating engineer and other construction equipment operator	1.0	49.0202	Construction/Heavy Equipment/Earthmoving	Architecture & Construction
			49.0206	Mobil Crane Operation/Operator (New)	Architecture & Construction
47-2081,2	Drywall installer, ceiling tile installer and taper	1.1	46.0404	Drywall Installation/Drywall (New)	Architecture & Construction
			46.9999	Building/Construction Trades, Other	Architecture & Construction
47-2110	Electrician	2.1	46.0302	Electrician	Architecture & Construction
47-2141	Painter, construction and maintenance	5.8	46.0408	Painting/Painter & Wall Coverer	Architecture & Construction
47-2151,2	Pipelayer, plumber, pipefitter, and steamfitter	0.9	46.0502	P ipelayer/Pipefitter & Sprinkler Fitter (New)	Architecture & Construction
			46.0503	Plumbing Technology/Plumber (New)	Architecture & Construction
			46.0599	Plumbing and Related Water Supply Services,	Architecture & Construction
47-2180	Roofer	1.3	46.0410	Roofer (New)	Architecture & Construction
47-2210	Sheet metal worker	4.0	48.0506	Sheet Metal Technology/Sheetworking	Architecture & Construction
47-2220	Structural iron and and steel worker	0.8	46.0411	Metal Building Assembly/Assembler (New)	Architecture & Construction
			46.9999	Building/Construction Trades, Other	Architecture & Construction
47-3011,2,3,4,5,6	Helper, construction trade	5.3	46.0101	Masonry/Mason	Architecture & Construction
			46.0201	Carpentry/Carpenter	Architecture & Construction
			46.0302	Electrician	Architecture & Construction
			46.0402	Concrete Finishing/Concrete Finisher (New)	Architecture & Construction
			46.0404	Drywall Installation/Drywall (New)	Architecture & Construction
			46.0406	Glazier (New)	Architecture & Construction
			46.0408	Painting/Painter & Wall Coverer	Architecture & Construction
			46.0410	Roofer (New)	Architecture & Construction
			46.0503	Plumbing Technology/Plumber (New)	Architecture & Construction
47-4011	Construction and building inspector	12.4	46.0403	Building/Home/Construction	Architecture & Construction
47-4051	Highway maintenance worker	2.7	49.0202	Construction/Heavy Equipment/Earthmoving	Architecture & Construction
49-1011	First-line supervisor/manager of mechanics, installers and repairers	7.1	52.0205	Operations Management & Supervision	Manufacturing
49-2011	Computer, automated teller, and machine repair	12.0	47.0102	Business Machine Repair	Information Technology
			47.0104	Computer Installation & Repair	Information Technology
49-2021,2	Radio and telecommunications equipment installer and repairer	13.6	47.0103	Communications Systems Installation & Repair	Information Technology
49-2092	Electric motor, power tool, and	3.2	47.0101	Electrical/Electronics Equipment Installation &	Manufacturing

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BLS SOC Code	BLS Occupation Title	Percent Female	NCES CIP Code	NCES Education Program Title	USDOE Career Cluster
	related repair				
49-2098	Security and fire alarm systems installer	3.9	46.0302 47.0110	Electrician Security System Installation, Repair, &	Architecture & Construction Architecture & Construction
49-3011	Aircraft mechanic and service technician	3.4	47.0607 47.0608 1.0205	A/rframe Mechanics & Aircraft Maintenance A/rcraft Powerplant Technology/Technician Agricultural Mechanics & Equipment/Machine	Transportation, Distribution, & Logistics Transportation, Distribution, & Logistics Transportation, Distribution, & Logistics
49-3021	Automotive body and related repairer	2.4	47.0603	Autobody/Collision & Repair Technology &	Transportation, Distribution, & Logistics
49-3023	Automotive service technician and mechanic	1.3	15.0803 47.0604 47.0612 47.0613 47.0614	Automotive Engineering Automobile/Automotive Vehicle Emissions Inspection & Maintenance Medium/Heavy Vehicle & Truck Alternative Fuel Vehicle Technology/Technician	Transportation, Distribution, & Logistics Transportation, Distribution, & Logistics Transportation, Distribution, & Logistics Transportation, Distribution, & Logistics Transportation, Distribution, & Logistics
49-3031	Bus and truck mechanic and diesel engine specialist	0.6	47.0605 47.0613	Diesel Mechanics Technology/Technician Medium/Heavy Vehicle & Truck	Transportation, Distribution, & Logistics Transportation, Distribution, & Logistics
49-3041,2,3	Heavy vehicle and mobile equipment service technician and mechanic	0.3	1.0201 1.0204 1.0205 1.0299 47.0302	Agricultural Mechanization, General Agricultural Power Machinery Operation Agricultural Mechanics & Equipment/Machine Agricultural Mechanization, Other Heavy Equipment	Transportation, Distribution, & Logistics Transportation, Distribution, & Logistics Transportation, Distribution, & Logistics Transportation, Distribution, & Logistics Transportation, Distribution, & Logistics
49-3051,2,3	Small engine mechanic	0.7	47.0606 47.0616 47.0611	Small Engine Mechanics & Repair Technology Marine Maintenance/Fitter & Ship Repair Motorcycle Maintenance & Repair	Transportation, Distribution, & Logistics Transportation, Distribution, & Logistics Transportation, Distribution, & Logistics
49-9021	Heating, air conditioning, and refrigeration	1.5	15.0501 15.0505 47.0201	Heating, Air Conditioning & Refrigeration Solar Energy Technology/Technician Heating, Air Conditioning, Ventilation &	Architecture & Construction Manufacturing Architecture & Construction Manufacturing Architecture & Construction Manufacturing
49-9041	Industrial and refractory machinery mechanic	3.7	47.0303 47.0399	Industrial Mechanics & Maintenance Heavy/Industrial Equipment Maintenance	Manufacturing Manufacturing
49-9042	Maintenance and repair worker, general	4.1	46.0412	Building/Construction Site	Manufacturing
49-9044	Millwright	3.1	47.0303 47.0399	Industrial Mechanics & Maintenance Heavy/Industrial Equipment Maintenance	Manufacturing Manufacturing
49-9051	Electrical power-line installer and repairer	1.1	46.0301 46.0303 46.0399	Electrical & Power Transmission Lineworker Electrical & Power Transmission Installers,	Architecture & Construction Architecture & Construction Architecture & Construction
49-9052	Telecommunications line installer and repairer	4.8	47.0103	Communications Systems Installation & Repair	Arts, A/V Technology & Communication
49-9061,2,3,4,9	Precision instrument and equipment repairer	20.0	15.0401 15.0404 15.0499 47.0103 47.0404 47.0408	Biomedical Technology/Technician Instrumentation Technology/Technician Electromechanical & Instrumentation & Communications Systems Installation & Repair Musical Instrument Fabrication & Repair Watchmaking & Jewelmaking	Manufacturing Information Technology Information Technology Manufacturing Arts, A/V Technology & Communication Information Technology
49-9091	Coin, vending, and amusement machine servicer and repairer	16.5	47.0199	Electrical/Electronics Maintenance & Repair	Arts, A/V Technology & Communication
51.1011	First-line supervisor/manager of production and operating workers	20.1	52.0205	Operations Management & Supervision	Manufacturing
51.3021,2,3	Butcher and other meat, poultry, & fish processing worker	19.6	12.0506	Meat Cutting/Meat Cutter	Retail & Wholesale Sales & Service
51-4033	Grinding, lapping, polishing, and machine tool setter, operator, and tender, metal and plastic	11.0	48.0501 48.0503	Machine Tool Technology/Machinist Machine Shop Technology/Assistant	Manufacturing Manufacturing
51-4040	Machinist	4.4	48.0501 48.0503	Machine Tool Technology/Machinist Machine Shop Technology/Assistant	Manufacturing Manufacturing

Nontraditional for Females-2004

BLS SOC Code	BLS Occupation Title	Percent Female	NCES CIP Code	NCES Education Program Title	USDOE Career Cluster
51-4070	Molder and molding machine setter, operator and tender, metal and plastic	24.9	48.0509	Ironworking/Ironworker (New)	Manufacturing
51-4111	Tool and die maker	3.0	48.0507	Tool & Die Technology/Technician	Manufacturing
51-4120	Welding, soldering, and brazing worker	5.0	48.0508	Welding Technology/Welder	Manufacturing
51-5021	Job printer	21.2	10.0302 10.0305	Printing Management (New) Graphic & Printing Equipment Operator,	Arts, A/V Technology & Communication Arts, A/V Technology & Communication
51-5023	Printing machine operator	19.3	10.0302 10.0305 10.0307 10.0399	Printing Management (New) Graphic & Printing Equipment Operator, Printing Press Operator Graphic Communications, Other (New)	Arts, A/V Technology & Communication Arts, A/V Technology & Communication Arts, A/V Technology & Communication Arts, A/V Technology & Communication
51-7011	Cabinetmaker and bench carpenter	4.4	48.0703	Cabinetmaking & Millwork/Millwright	Manufacturing
51-8021	Stationary engineer and boiler operator	1.0	46.0401	Building/property Maintenance and	Architecture & Construction
51-8031	Water and liquid waste treatment and system operator	6.1	15.0506	Water Quality & Wastewater Treatment	Agriculture/Natural Resource
51-9011	Chemical processing machine setter, operator, and tender	14.0	41.0301	Chemical Technology/Technician	Manufacturing
51-9021,2,3	Crushing, grinding, polishing, mixing and blending worker	20.1	99.9990 1.0401	No related CIP programs Agricultural & Food Products Processing,	Manufacturing Manufacturing
51-9121	Painting worker	13.1	99.9990 47.0603 50.0409	No related CIP programs Autobody/Collision & Repair Technology & Graphic Design (New)	Manufacturing Manufacturing Manufacturing
51-9196	Paper goods machine setter, operator, and tender	19.3	99.9990	No related CIP programs	Manufacturing
51-9198	Helper-production worker	21.1	99.9990	No related CIP programs	Manufacturing
53-1031	Supervisor, transportation and material moving workers	17.8	99.9990	No related CIP programs	Transportation, Distribution, & Logistics
53-2011	Aircraft pilot flight engineer	5.3	49.0102 49.0108	Airline/Commercial/Professional Pilot & Flight Flight Instructor	Transportation, Distribution, & Logistics Transportation, Distribution, & Logistics
53-3031	Driver/sales worker and truck driver	4.5	52.1803 49.0205	Retailing & Retail Operations Truck & Bus Driver/Commercial Vehicle	Retail & Wholesale Sales & Service Transportation, Distribution, & Logistics
53-3040	Taxi driver and chauffeur	12.9	49.0205	Truck & Bus Driver/Commercial Vehicle	Transportation, Distribution, & Logistics
53-4031	Railroad conductor and yardmaster	7.8	49.0205	Truck & Bus Driver/Commercial Vehicle	Transportation, Distribution, & Logistics
53-6021	Parking lot attendant	13.3	99.9990	No related CIP programs	Retail & Wholesale Sales & Service
53-6031	Service station attendant	8.7	99.9990	No related CIP programs	Retail & Wholesale Sales & Service
53-7021	Crane and tower operator	4.0	49.0202 49.0206	Construction/Heavy Equipment/Earthmoving Mobil Crane Operation/Operator (New)	Architecture & Construction Architecture & Construction
53-7031,2,3	Dredge, excavating, and loading machine operator	0.1	49.0202 49.0299	Construction/Heavy Equipment/Earthmoving Vehicle & Equipment Operators, Other	Architecture & Construction Architecture & Construction Agriculture/Natural Resource
53-7051	Industrial truck and tractor operator	7.5	49.0299	Vehicle & Equipment Operators, Other	Transportation, Distribution, & Logistics
53-7061	Cleaner of vehicles and equipment	11.9	99.9990	No related CIP programs	Transportation, Distribution, & Logistics
53-7062	Laborer and freight, stock, and material mover, handler	16.2	99.9990	No related CIP programs	Transportation, Distribution, & Logistics Arts, A/V Technology & Communication
53-7080	Refuse and recyclable material collector	8.2	99.9990	No related CIP programs	Transportation, Distribution, & Logistics

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BLS		Percent	NCES		
SOC Code	BLS Occupation Title	Female	CIP Code	NCES Education Program Title	USDOE Career Cluster

NOTES:

Nontraditional occupations identified from 2004 Bureau of Labor Statistics (BLS) Household Data Annual Averages, Table 11 (www.napequity.org/pdf/cpsaat11.pdf).

BLS Standard Occupations Classification (SOC) codes and titles from www.bls.gov/soc.

Crosswalk of NCES CIP codes to BLS SOC codes and USDOE Career Clusters found at <http://nces.ed.gov/pubs2002/cip2000/index.asp>.

Nontraditional for Males-2004

BLS		Percent	NCES		USDOE Career Cluster
SOC Code	BLS Occupation Title		CIP Code	NCES Education Program Title	
21-1021,2,3,9	Social worker	22.3	43.0110	Juvenile Corrections (New)	Human Service
			44.0701	Social Work	Human Service
			44.0702	Youth Services/Administration (New)	Human Service
			51.1503	Clinical/Medical Social Work	Human Service
			44.0701	Social Work	Human Service
23-2011	Paralegal and legal assistant	13.6	22.0302	Legal Assistant/Paralegal	Law & Public Safety
23-2091,2,3,9	Misc. legal support worker	23.4	22.0303	Court Reporting/Court Reporter	Law & Public Safety
25-2011,2	Preschool and kindergarten teachers	1.9	13.1210	Early Childhood Education & Teaching	Education & Training
			19.0703	Child Care & Support Services Management (New)	Education & Training
			13.1210	Early Childhood Education & Teaching	Education & Training
25-2021,2	Elementary and middle school teacher	18.7	13.1202	Elementary Education & Teaching	Education & Training
			13.1205	Teacher Education, Multiple Levels	Education & Training
			13.1203	Junior High/Intermediate/Middle School Education &	Education & Training
			13.1302	Art Teacher Education	Education & Training
			13.1305	English/Language Arts Teacher Education	Education & Training
			13.1306	Foreign Language Teacher Education	Education & Training
			13.1307	Health Teacher Education	Education & Training
			13.1308	Family & Consumer Sciences/Home Economics	Education & Training
			13.1309	Technology Teacher Education/Industrial Arts	Education & Training
			13.1311	Mathematics Teacher Education	Education & Training
			13.1312	Music Teacher Education	Education & Training
			13.1314	Physical Education Teaching & Coaching	Education & Training
			13.1315	Reading Teacher Education	Education & Training
			13.1316	Science Teacher Education/General Science	Education & Training
			13.1317	Social Science Teacher Education	Education & Training
			13.1318	Social Studies Teacher Education	Education & Training
			13.1321	Computer Teacher Education	Education & Training
			13.1327	Health Occupations Teacher Education	Education & Training
			13.1328	History Teacher Education	Education & Training
			13.1359	Teacher Education & Professional Development,	Education & Training
25-2041,2,3	Special education teacher	16.7	13.1001	Special Education, General	Education & Training
			13.1003	Education/Teaching of Individuals with Hearing	Education & Training
			13.1005	Education/Teaching of Individuals with Emotional	Education & Training
			13.1006	Education/Teaching of Individuals with Mental	Education & Training
			13.1007	Education/Teaching of Individuals with Multiple	Education & Training
			13.1008	Education/Teaching of Individuals with Orthopedic &	Education & Training
			13.1009	Education/Teaching of Individuals with Vision	Education & Training
			13.1011	Education/Teaching of Individuals with Specific	Education & Training
			13.1012	Education/Teaching of Individuals with Speech or	Education & Training
			13.1013	Education/Teaching of Individuals with Autism	Education & Training
			13.1016	Education/Teaching of Individuals with Traumatic	Education & Training
			13.1099	Special Education & Teaching, Other	Education & Training
25-4021	Librarian	16.8	13.1334	School Librarian/School Library Media Specialist	Arts, A/V Technology & Communication
			25.0101	Library Science/Librarianship	Arts, A/V Technology & Communication
			25.9999	Library Science, Other	Arts, A/V Technology & Communication
25-4031	Teacher assistant	8.4	13.1501	Teacher Assistant/aide	Education & Training
			13.1599	Teaching Assistant/Aides, Other	Education & Training
29-1031	Dietitian and nutritionist	10.8	19.0501	Foods, Nutrition, & Wellness Studies, General	Health Science
			19.0504	Human Nutrition (New)	Health Science
			19.0505	Foodservice Systems Administration/Management	Health Science
			19.0599	Foods, Nutrition, & Related Services, Other	Health Science
			30.1901	Nutrition Sciences	Health Science
			51.3101	Dietetics/Dietician (RD)	Health Science
			51.3102	Clinical Nutrition/Nutritionist (NR) (New)	Health Science
			51.3199	Dietetic and Clinical Nutrition Services, Other	Health Science
29-1111	Registered nurse	7.8	51.1601	Nursing - Registered Nurse Training (RN, ASN, BSN,	Health Science
			51.1603	Adult Health Nurse/Nursing	Health Science
			51.1604	Nurse Anesthetist	Health Science
			51.1605	Family Practice Nurse/Nurse Practitioner	Health Science
			51.1606	Maternal/Child Health Nurse/Nursing	Health Science
			51.1607	Nurse Midwife/Nursing Midwifery	Health Science
			51.1608	Nursing Science (MS, PhD)	Health Science
			51.1609	Pediatric Nurse/Nursing	Health Science
			51.1610	Psychiatric/Mental Health Nurse/Nursing	Health Science
			51.1611	Public Health/Community Nurse/Nursing	Health Science
			51.1612	Perioperative/Operating Room and Surgical	Health Science
			51.1616	Nursing Clinical Specialist (New)	Health Science
			51.1617	Critical Care Nursing	Health Science
			51.1618	Occupational and Environmental Health Nursing	Health Science

Nontraditional for Males-2004

BLS SOC Code	BLS Occupation Title	Percent Male	NCES CIP Code	NCES Education Program Title	USDOE Career Cluster
			51.1699	Nursing, Other	Health Science
29-1122	Occupational therapist	7.3	51.2300	Occupational Therapy/Therapist	Health Science
29-1127	Speech language pathologist	4.9	51.0201	Communication Disorders, General	Health Science
			51.0203	Speech-Language Pathology/Pathologist	Health Science
			51.0204	Audiology/Audiologist & Speech-Language	Health Science
			51.0299	Communication Disorders Sciences & Services,	Health Science
29-2021	Dental hygienist	1.2	51.0602	Dental Hygiene/Hygienist	Health Science
29-2051,2,3, 4,5,6	Health diagnosing and treating practitioner support technician	15.9	19.0501	Foods, Nutrition, & Wellness Studies, General	Health Science
			30.1901	Nutrition Sciences	Health Science
			51.3101	Dietetics/Dietician (RD)	Health Science
			51.3103	Dietetic Technician (DTR) (New)	Health Science
			51.3104	Dietetic Assistant	Health Science
			51.0805	Pharmacy Technician	Health Science
			51.1502	Psychiatric/Mental Health Services Technician	Health Science
			51.0812	Respiratory Therapy Technician (New)	Health Science
			51.0909	Respiratory Therapy/Therapist	Health Science
			51.0811	Pathology/Pathologist Assistant (New)	Health Science
			51.0909	Surgical Technology/Technologist	Health Science
			51.0808	Veterinary/Animal Health Technology/Technician &	Health Science
29-2061	Licensed practical and licensed vocational nurse	5.7	51.1613	Licensed Practical Nurse Training (LPN, Cert, Dipl,	Health Science
29-2071	Medical records and health information technician	11.4	51.0707	Health Information/Medical Records	Health Science
			51.0713	Medical Insurance Coding Specialist/Coder (New)	Health Science
31-1011,2,3	Nursing, psychiatric, and home health aids	10.7	51.2602	Home Health Aide/Home Attendant	Health Science
			51.1614	Nurse/Nursing Assistant/Aide	Health Science
			51.2601	Health Aide	Health Science
			51.1502	Psychiatric/Mental Health Services Technician	Health Science
			51.2601	Health Aide	Health Science
31-2021,2	Physical therapist assistant and aide	10.7	51.0806	Physical Therapy Assistant	Health Science
31-9011	Massage therapist	15.4	51.3501	Massage Therapy/Therapeutic Massage	Health Science
			51.3502	Asian Bodywork Therapy (New)	Health Science
			51.3503	Somatic Bodywork (New)	Health Science
			51.3599	Somatic Bodywork and Related Therapeutic Services,	Health Science
31-9091	Dental assistant	3.5	51.0601	Dental Assisting/Assistant	Health Science
35-9031	Host and hostess, restaurant, lounge, and coffee shop	9.9	12.0507	Food Service, Waiter/Waitress, & Dining Room	Hospitality & Tourism
37-2012	Maid and housekeeping cleaner	10	99.9990	No related CIP programs	Hospitality & Tourism
39-5012	Hairdresser, hairstylist, and cosmetologist	8.5	12.0401	Cosmetology/Cosmetologist, General	Retail & Wholesale Sales & Service
			12.0404	Electrolysis/Electrology & Electrolysis Technician	Retail & Wholesale Sales & Service
			12.0406	Make-Up Artist/Specialist	Retail & Wholesale Sales & Service
			12.0407	Hair Styling/Stylist & Hair Design (New)	Retail & Wholesale Sales & Service
			12.0411	Permanent Cosmetics/Makeup & Tattooing (New)	Retail & Wholesale Sales & Service
			12.0412	Salon/Beauty Salon Management/Manager (New)	Retail & Wholesale Sales & Service
			12.0413	Cosmetology, Barber/Styling, & Nail Instructor (New)	Retail & Wholesale Sales & Service
			12.0499	Cosmetology & Related Personal Grooming Arts,	Retail & Wholesale Sales & Service
39-5091,2,3,4	Misc. personal appearance worker	14.6	12.0401	Cosmetology/Cosmetologist, General	Retail & Wholesale Sales & Service
			12.0406	Make-Up Artist/Specialist	Retail & Wholesale Sales & Service
			12.0411	Permanent Cosmetics/Makeup & Tattooing (New)	Retail & Wholesale Sales & Service
			12.0401	Cosmetology/Cosmetologist, General	Retail & Wholesale Sales & Service
			12.0410	Nail Technician/Specialist & Manicurist (New)	Retail & Wholesale Sales & Service
			12.0407	Hair Styling/Stylist & Hair Design (New)	Retail & Wholesale Sales & Service
			12.0401	Cosmetology/Cosmetologist, General	Retail & Wholesale Sales & Service
			12.0408	Facial Treatment Specialist/Facialist (New)	Retail & Wholesale Sales & Service
39-9011	Childcare worker	5.5	19.0709	Child Care Provider/Assistant	Human Service
39-9031,2	Personal and home care aide	12.4	99.9990	No related CIP programs	Human Service
41-2011	Cashier	23.9	52.1803	Retailing & Retail Operations	Retail & Wholesale Sales & Service
41-3041	Travel agent	18	52.1804	Selling Skills & Sales Operations	Retail & Wholesale Sales & Service
			52.1905	Tourism and Travel Services Marketing Operations	Retail & Wholesale Sales & Service
41-9011,2	Model, demonstrator, and product promoter	13.6	52.1803	Retailing & Retail Operations	Retail & Wholesale Sales & Service
			52.1903	Fashion Modeling	Retail & Wholesale Sales & Service

Nontraditional for Males-2004

BLS SOC Code	BLS Occupation Title	Percent Male	NCES CIP Code	NCES Education Program Title	USDOE Career Cluster
43-2011	Switchboard operator, including answering service	13.5	52.0406	Receptionist	Business & Administration
43-2021	Telephone operator	18.4	52.0406	Receptionist	Arts, A/V Technology & Communication
			52.0411	Customer Service Support/Call Center/Teleservice	Arts, A/V Technology & Communication
43-3021	Billing and posting clerk and machine operator	8.4	52.0302	Accounting Technology/Technician & Bookkeeping	Finance
43-3031	Bookkeeping, accounting, and auditing clerk	8.2	52.0302	Accounting Technology/Technician & Bookkeeping	Finance
			52.0399	Accounting & Related Services, Other	Finance
43-3051	Payroll and timekeeping clerk	8.1	52.0302	Accounting Technology/Technician & Bookkeeping	Finance
43-3071	Teller	11.9	52.0803	Banking & Financial Support Services	Finance
43-4031	Court, municipal, and license clerk	11.8	52.0408	General Office Occupations & Clerical Services	Government & Public Administration
43-4061	Eligibility interviewer, govt programs	23.5	44.0201	Community Organization & Advocacy	Human Service
43-4071	File clerk	20.2	52.0408	General Office Occupations & Clerical Services	Business & Administration
43-4081	Hotel, motel, and resort desk clerk	24.7	52.1804	Selling Skills & Sales Operations	Hospitality & Tourism
43-4111	Interviewer, except eligibility and loan	15.3	52.0406	Receptionist	Business & Administration
43-4121	Library assistant, clerical	16.8	25.0301	Library Assistant	Education & Training
43-4131	Loan interviewer and clerk	17.1	52.0803	Banking & Financial Support Services	Finance
43-4161	Human resource assistant, except payroll and timekeeping	19.4	52.0408	General Office Occupations & Clerical Services	Business & Administration
43-4171	Receptionist and information clerk	7.6	51.0703	Health Unit Coordinator/Ward Clerk	Business & Administration
			51.0712	Medical Reception/Receptionist (New)	Hospitality & Tourism
			52.0406	Receptionist	Hospitality & Tourism
			52.0408	General Office Occupations & Clerical Services	Hospitality & Tourism
43-6011,2,3,4	Secretary and administrative asst.	3.1	51.0706	Medical Administrative/Executive Assistant &	Business & Administration
			52.0401	Administrative Assistant & Secretarial Science,	Business & Administration
			52.0402	Executive Assistant/Executive Secretary	Business & Administration
43-9021	Data entry keyers	19.7	10.0305	Graphic & Printing Equipment Operator, General	Business & Administration
			11.0601	Data Entry/Microcomputer Applications (New)	Business & Administration
			52.0407	Business/Office Automation/Technology/Data Entry	Business & Administration
43-9022	Word processor and typist	6.5	11.0602	Word Processing (New)	Business & Administration
			52.0408	General Office Occupations & Clerical Services	Business & Administration
43-9041	Insurance claims and policy processing clerk	12.8	52.0408	General Office Occupations & Clerical Services	Finance
43-9061	Office clerk, general	16.5	52.0408	General Office Occupations & Clerical Services	Business & Administration
45-2041	Grader and sorter, agricultural products	23.6	1.0105	Agricultural/Farm Supplies Retailing & Wholesaling	Agriculture/Natural Resource
51-6031	Sewing machine operator	22.3	99.9900	No related CIP programs	Manufacturing

NOTES:

Nontraditional occupations identified from 2004 Bureau of Labor Statistics (BLS) Household Data Annual Averages, Table 11 (www.napequity.org/pdf/cpsaat11.pdf)

BLS Standard Occupations Classification (SOC) codes and titles from www.bls.gov/soc.

Crosswalk of NCES CIP codes to BLS SOC codes and USDOE Career Clusters found at <http://nces.ed.gov/pubs2002/cip2000/index.asp>.

ATTACHMENT F

The University of the State of New York
THE STATE EDUCATION DEPARTMENT
Albany, New York 12234

Vocational and Technical Education Act (Perkins)

CONDITIONS AND TERMS FOR GRANT AWARDS

Critical Project Dates:

Earliest Date to Encumber/Beginning Date of Project- 07/01/07

Latest Date to Encumber/Ending Date of Project- 06/30/08

Latest Date to Submit Final Claim- 09/30/08

Latest Date to Submit Final Narrative Report- 09/30/08

The following conditions and terms apply to all projects funded with Perkins funds.

1. **Program Evaluation:** In accordance with the federal Perkins Act the recipient agency must annually evaluate the effectiveness of its entire Career and Technical Education (CTE) program. Using the final agreed upon Statewide performance levels, the recipient agency must update its local CTE Program Plan (CTEPP) if any of the six performance measures were not achieved. Such updates of the CTEPP must include descriptions of any areas where performance fell below state standards, and it must describe program improvements that will be made to close any gaps between local results and state standards. New York State's assessment system under Perkins is based on the following Performance Indicators (goals are for 2006-07):

Performance Indicator 1S:

Student attainment of challenging state established academic and vocational/technical, skill proficiencies.

1S1 - Academic Skills Attainment: At least 82.01% of all secondary completers of CTE programs will pass all currently required Regents examinations (or pass the Regents Competency Tests if called for by the students Individual Education Plan or if offered by the secondary agency instead of the Regents exams).

Methodolgy -

Numerator: Number of completers that pass the exams

Demoninator: Number of all completers

1S2 - Vocational/Technical Skills Attainment: At least 83.47% of all secondary level completers of CTE programs will demonstrate attainment of technical skills by attaining a course grade average of 75 percent for all of the courses in the CTE sequence.

Methodolgy -

Numerator: Number of completers that achieved a Grade Point Average of 75%in their CTE courses

Demoninator: Number of all completers

Performance Indicator 2S:

Student attainment of a secondary school diploma or its recognized equivalent, a proficiency credential in conjunction with a secondary school diploma or a postsecondary degree or credential.

2S1 - Credentials: At least 95.00% of secondary completers of CTE programs will attain a high school diploma in the year in which they are designated as program completers.

Methodolgy -

Numerator: Number of completers that attain a high school diploma

Demoninator: Number of all completers

Performance Indicator 3S:

Placement in postsecondary education or advanced training, military service or employment.

3S1 - Placement: At least 95.00% of secondary CTE program completers will be placed in postsecondary education or advanced training, employment or the military.

Methodolgy -

Numerator: Number of completers successfully placed

Demoninator: Number of all completers

Performance Indicator 4S:

Student participation in and completion of CTE programs that lead to nontraditional training and employment.

4S1- Non-traditional Participation: At least 28.09% of participants in selected programs, as identified by the State Education Department (SED), will be members of the non-traditional gender for the selected program.

Methodolgy -

Numerator: Number of non-traditional gender participants

Demoninator: Number of all participants in non-traditional programs

4S2 -Non-traditional Completion: At least 20.74% of all completers of selected programs, as identified by SED, will be members of the non-traditional gender for the selected program.

Methodolgy -

Numerator: Number of non-traditional gender completers

Demoninator: Number of all completers in non-traditional programs

2. **Single Audit:** In accordance with the Single Audit Act of 1984, grant recipients receiving \$300,000 or more in federal awards during a fiscal year must provide evidence that an independent financial and compliance audit of all federal programs was conducted on at least a biennial basis. Costs of a "single audit" performed by an independent auditor should be recovered from the agency's indirect costs reimbursement. Those agencies without an approved indirect cost rate may claim, under project direct costs, the pro rata share of the federal portion of the audit cost. Procedures for the determination of the projects pro rata are detailed in the Fiscal Guidelines for Federal and State Aided Grants (available from the Grants Finance Unit).
3. **Supplement:** Perkins funds will supplement, not supplant, local expenditures. They will not duplicate objects of expenditure from other sources. This assurance does not apply to funds made available under Title 2 used to pay for the costs of career and technical education services required in an Individual Education Plan (IEP) developed under the Education of the Handicapped Act.
4. **Civil Rights:** All agencies accepting Perkins funds agree to comply with the following federal civil rights authorities: (1) Title VI of the Civil Rights Act of 1964; (2) Title IX of the Education Amendments of 1972; (3) Section 504 of the Rehabilitation Act of 1973; (4) the Age Discrimination Act of 1975; and (5) the U.S. Office for Civil Rights' "Guidelines for Eliminating Discrimination and Denial of Services in Vocational Education on the Basis of Race, Color, National Origin, Sex and Handicap."

In addition, each recipient agrees to the following conditions:

- a) The recipient will provide SED with access to its records and other sources of information that may be required to conduct Office for Civil Rights desk audits and on site reviews to determine whether violations of the civil rights authorities have occurred; and
- b) If SED issues a final letter of finding indicating the recipient has failed to comply with the civil rights authorities, the recipient, within 90 days of receiving the letter, will submit to SED an approvable compliance plan describing the steps it will take to overcome the violation and the effects of the violation. The compliance plan shall describe in detail: (a) the steps the recipient will take to remedy the violation; (b) the proposed timetable for remediation of the violation; and (c) the personnel responsible for implementing the compliance plan.

Should a recipient of Perkins funds be determined to be in noncompliance with any of the four federal civil rights statutes and not be willing to furnish an approvable compliance plan to correct the situation, the matter will be referred to the Office of Civil Rights in the U.S. Education Department. Should this occur, SED might be required to withhold all federal funding from the agency in noncompliance.

- 5) Administrative Cap: Each recipient receiving basic grant funds under Title 1 of Perkins shall use no more than 5 percent of such funds for administrative costs. Under the Education Department General Administrative Regulations (EDGAR) Part 75.560 indirect costs are administrative costs.
- 6) Copyright: The recipient agency is free to copyright any books, publications, or other copyrightable materials developed in the course of, or under, this grant. However, SED reserves a royalty-free, nonexclusive and irrevocable right to reproduce, publish, or otherwise use, and to authorize others to use these works.
- 7) MOU: In accordance with Perkins the recipient agency must, if it is eligible for Perkins adult formula funds, submit one copy of the Memorandum of Understanding (MOU) it established with its Local Workforce Investment Board. Failure to submit this MOU will result in applications not being processed.
- 8) Interim Payments: The Office of the State Comptroller will send the initial payment of 20 percent to you within a few weeks of proposal approval. Subsequent payments are requested by submitting the enclosed forms (*FS-25*) to the Grants Finance Unit, New York State Education Department, Room 510W Education Building, Washington Avenue, Albany, New York 12234.
- 9) Amendments: Amendments permit recipient agencies to request approval for unanticipated changes. Page 1 of the enclosed *FS-10-A* provides instructions for completing the amendment. These changes should be identified early to permit full implementation of the project as approved. Amendments should be mailed to the Technical Support Team, New York State Education Department, Room 315 Education Building, Washington Avenue, Albany, New York 12234. Amendments will be accepted up to one month prior to the project ending date. Prior to preparing an amendment you should call your technical assistance contact for direction and assistance.
- 10) Finals: Final Claims are processed upon the submission of two (2) copies of the enclosed *FS-10-F* (one copy must have an original signature) to the Grants Finance Unit. Submission of the *FS-10-F* must be made prior to 90 days after the Ending Date of the project.
 - a) For Final Claims that include equipment, the enclosed *Equipment Inventory Form* must be completed and kept on file in your agency.
 - b) Federal regulations also require that a bi-annual inventory of equipment purchased be done and kept on file in the agency.
 - c) For Final Claims which include salaries or other approved expenses, evidence of employment in the approved positions, or other evidence of approved expenditures must be kept on file in your agency.
 - d) Failure to submit the *FS-10-F* on time will result in a delay of final grant payment by the Grants Finance Unit.
- 11) Final Narrative Report: Each recipient must submit a *Final Narrative Report*. The Perkins *Final Narrative Report Form* is available at: www.emsc.nysed.gov/workforce/perkins3/perkins2007/docs/FinalReptForm.doc . Failure to submit the *Final Narrative Report* will result in future applications not being processed.

ATTACHMENT G



THE STATE EDUCATION DEPARTMENT / THE UNIVERSITY OF THE STATE OF NEW YORK / ALBANY, NY 12234

OFFICE OF HIGHER EDUCATION

Executive Coordinator
Office of K-16 Initiatives and Access Programs
Education Building Addition, Room 967
Albany, NY 12234

Tel. (518) 474-3719
Fax (518) 474-4768
E-mail: kiap@mail.nysed.gov
<http://www.highered.nysed.gov/kiap/home.html>

April 16, 2007

«P_Prefix» «P_FirstName» «P_LastName»
«P_Title»
«School_District»
«P_Address_Line_1»
«P_Address_Line_2»
«P_City», «P_State» «P_ZIP_Code»

Dear «P_Prefix» «P_LastName»:

We are pleased to inform you that the New York State Education Department has approved your application submitted under the Carl D. Perkins Career and Technical Education Act of 2006 (Perkins IV). This grant is approved in the amount shown below, **pending the availability of federal Perkins IV funds. This grant is subject to review and approval by the Grants Finance Unit.**

VTEA Category	Project Number	Award Amount
«VTEA_Category»	«Project_»	\$ «Allocation_Amount»

I have enclosed a copy of the Conditions and Requirements for Perkins IV Grant Awards, which provides guidelines for the management of the project. This document should be signed by you or your designee and returned within **fifteen days** to: Collegiate Development Programs Unit, Room 1071, Education Building Addition, Albany, NY 12234.

A copy of the approved application, including necessary modifications and notations, has been sent to your grants officer. Interim and Final Report Formats will be sent under separate cover at a later date.

If you have any programmatic or fiscal questions, please contact our office at (518) 474-5313.

Sincerely,

Stanley S. Hansen, Jr.

SSH/ks
Enclosures

cc: «cc_First_Name» «cc_Last_Name»
«cc_2_First_Name» «cc_2_Last_Name»
«cc_3_First_Name» «cc_3_Last_Name»
«Liason»
James Donsbach

**CONDITIONS AND REQUIREMENTS
FOR PERKINS IV (VTEA) FORMULA FUNDED GRANT AWARDS
FISCAL YEAR 2008**

Agency: «College»

1. The operation of all Perkins IV programs is governed by the **Fiscal Guidelines for Federal and State Aided Grants**, available on the Department's web site, <http://www.nysed.gov> (select "Information about: Grants & Finance"), and by the attached Financial Policies and Procedures Memo 92-2 (3/31/92) which prohibits the use of Federal grant funds to purchase promotional favors (pens, pencils, T-shirts, bumper stickers, etc.).
2. A signed copy of this statement, indicating acceptance of grant terms and conditions, should be returned to: New York State Education Department, Collegiate Development Programs Unit, Room 1071, Education Building Addition, Albany, NY 12234

Acceptance is due no later than fifteen (15) days after the date of your letter of award.

3. Awards for all FY 2008 Perkins IV formula and competitive grants are made on the basis of specific terms in the approved budget as delineated on attached form FS-10 (1/05). All fiscal forms are available on the Department's web site www.oms.nysed.gov/cafe/forms.html. Funds are authorized only for the specific activities and categories in the approved budget; program and/or budget revisions may be made only if prior approval is obtained in writing from the Collegiate Development Programs Unit.

All equipment and software being purchased must be received, installed, and operational on February 15, 2008. Failure to do so may result in the recipient agency being asked to redirect such funds to other activities by the State Education Department.

PERKINS IV PROJECT NO.: «Project »

AWARD: \$«Allocation Amount»

Operating Dates:	7/01/2007 to 6/30/2008
Earliest Date to Encumber	7/01/2007
Interim Report	3/03/2008
Latest Date to Encumber	6/30/2008
Latest Payment Date	7/31/2008
Final Evaluation Report	9/30/2008
Final Project Expenditure Report Due	9/30/2008

BUDGET AMENDMENT REQUESTS (FORM FS-10-A) WILL NOT BE ACCEPTED AFTER APRIL 1, 2008.

4. An advance project payment of 20 percent will be sent to you by the Grants Finance Unit within a few weeks. As you need additional funds, subsequent payment may be requested by submitting the form FS-25 to the Grants Finance Unit. Final claims are processed upon submission of the **FINAL EVALUATION REPORT** and the **FINAL EXPENDITURE REPORT [FS-10-F Short Form]**.
5. One **INTERIM REPORT** should be submitted to the Collegiate Development Programs Unit, Room 1071, Education Building Addition, Albany, NY 12234. This report should be submitted by **March 3, 2008** in accordance with the **Interim Report Format** which will be provided to the grants officer under separate cover.

6. A **FINAL EVALUATION REPORT** should be submitted to the Collegiate Development Programs Unit, Room 1071, Education Building Addition, Albany, NY 12234. This report should be submitted by **September 30, 2008** in accordance with the **Final Report Format** which will be provided to the grants officer under separate cover.
7. The **FINAL EXPENDITURE REPORT** [Form FS-10-F Short Form] (9/05) is due **September 30, 2008**. One (1) original signature copy and one (1) information copy should be submitted to: Grants Finance Unit, State Education Department, Room 510W, Education Building, Albany, NY 12234. One (1) information copy should also be sent to: Collegiate Development Programs Unit, Room 1071, Education Building Addition, Albany, NY 12234. You may be requested to provide additional details or to complete the full FS-10-F Form.
 - (a) For final claims which include equipment with a unit value of \$5,000 or more, the final claim must be supported by maintaining the following items on file in your agency: (1) purchase orders; (2) invoices with items keyed by number to correspond to the approved equipment list; and (3) evidence of payment.
 - (b) For final claims which include salaries or other approved expenses, evidence of employment in the approved positions or other evidence of approved expenditures must be kept in your agency in a readily auditable condition.

NOTE: Personnel services must be completed by **June 30, 2008**.

 - (c) Supporting documents must be maintained for a minimum of three years following the submission of the final claim.
8. Failure to submit timely reports might result in a "**freeze**" being placed on all funds, not just Perkins IV, which flow to your agency through the Grants Finance Unit. It is, therefore, advisable that both your FS-10-Fs and Evaluation Reports be submitted promptly in accordance with items #5, #6 and #7 above.
9. In accordance with Perkins IV Section 135 (b), the recipient agency will evaluate annually the effectiveness of its entire occupational education program, using a system of core measures and standards of performance, regardless of which particular projects are assisted with Perkins IV funds.
10. Materials developed in whole or part with the support of Perkins IV funds administered by the Department must highlight in a prominent place the following statement: "Support for the development/production of this material was provided by a grant under the Carl D. Perkins Career and Technical Education Act of 2006 administered by the New York State Education Department."

Publicity releases and program announcements should make a similar statement. All materials produced must include a statement of the institutions' policy of non-discrimination on the basis of age, color, religion, creed, disability, marital status, veteran status, national origin, race, gender or sexual orientation.
11. All rights to reproduce and disseminate materials produced with Perkins IV funds are retained by the State, which has the sole right to copyright said materials. Prior to distribution of materials, the agency is required to submit them to the Collegiate Development Programs Unit

so that the State Education Department may determine whether or not a copyright will be sought.

- (a) The State of New York has the right to distribute such materials to any institution or agency, profit or nonprofit, within or outside of New York State.
- (b) The State of New York authorizes the developer/producer to distribute and sell such materials **at cost only** to any institution or agency, profit or nonprofit, within or outside of New York State.

On behalf of : «College»

I accept the conditions and requirements for the Perkins IV project cited above.

_____	_____	_____
(Chief Executive Officer's Signature)	(Title)	(Date)

_____	_____
(Please Print Name)	(Print Title)

Attachment: Financial Policies and Procedures Memo 92-2

Rev. 4/07

**CONDITIONS AND REQUIREMENTS
FOR TECH-PREP PERKINS IV GRANT AWARDS
FISCAL YEAR 2008**

Agency: «College»

1. The operation of all Perkins IV programs is governed by the **Fiscal Guidelines for Federal and State Aided Grants**, available on the Department's web site, <http://www.nysed.gov> (select "Grants Finance Unit"), and by the Financial Policies and Procedures Memo 92-2 (3/31/92) which prohibits the use of Federal grant funds to purchase promotional favors (pens, pencils, T-shirts, bumper stickers, etc.).
2. A signed copy of this statement, indicating acceptance of grant terms and conditions, should be returned to: New York State Education Department, Collegiate Development Programs Unit, Room 1071, Education Building Addition, Albany, NY 12234.

Acceptance is due no later than fifteen (15) days after the date of your letter of award.

3. Awards for all FY 2008 Perkins IV formula and competitive grants are made on the basis of specific terms in the approved budget as delineated on attached form FS-20 (12/05). All fiscal forms are available on the Department's web site www.oms.nysed.gov/cafe/forms.html. Funds are authorized only for the specific activities and categories in the approved budget; program and/or budget revisions may be made only if prior approval is obtained in writing from the Collegiate Development Programs Unit.

PERKINS IV TECH-PREP PROJECT NO. : «Project »

AWARD: \$«Allocation Amount»

Operating Dates:	7/01/2007 to 6/30/2008
Earliest Date to Encumber	7/01/2007
Interim Report (Semi-Annual)	2/06/2008
Latest Date to Encumber	6/30/2008
Final Evaluation Report	7/31/2008
Latest Payment Date	9/30/2008
Final Project Expenditure Report Due	9/30/2008

**BUDGET AMENDMENT REQUESTS (FORM FS-10-A) WILL NOT BE ACCEPTED
AFTER APRIL 1, 2008.**

4. An advance project payment of 20 percent will be sent to you by the Grants Finance Unit within a few weeks. As you need additional funds, subsequent payment may be requested by submitting the form FS-25 to the Grants Finance Unit. Final claims are processed upon submission of the **FINAL EVALUATION REPORT** and the **FINAL EXPENDITURE REPORT [FS-10-F Short Form]**.
5. One **INTERIM REPORT**, for each applicable grant award, should be submitted via email or softcopy to: Bernard McInerney, Career, Technical and Education Team, Room 315 Education Building, Albany, NY 12234. This report should be submitted by **2/6/2008**, in accordance with the report format which will be provided to the project coordinator under separate cover. An email copy should be sent to your liaison.

6. A **FINAL EVALUATION REPORT**, for each applicable grant award, should be submitted via email or softcopy to: Bernard McNerney, Career, Technical and Education Team, Room 315 Education Building, Albany, NY 12234. This report should be submitted according to the following instructions by **7/31/2008**, in accordance with the report format which will be provided to the project coordinator under separate cover. An email copy should be sent to your liaison.
7. The **FINAL EXPENDITURE REPORT** [Form FS-10-F Short Form] is due **September 30, 2008**. One (1) original signature copy and one (1) information copy should be submitted to: Grants Finance Unit, State Education Department, Room 510W, Education Building, Albany, NY 12234. One (1) information copy should also be sent to: Collegiate Development Programs Unit, Room 1071, Education Building Addition, Albany, NY 12234.
 - (a) For final claims which include equipment with a unit value of \$1,000 or more, the final claim must be supported by maintaining the following items on file in your agency: (1) purchase orders; (2) invoices with items keyed by number to correspond to the approved equipment list; and (3) evidence of payment.
 - (b) For final claims that include salaries or other approved expenses, evidence of employment in the approved positions or other evidence of approved expenditures must be kept in your agency in a readily auditable condition.

NOTE: Personnel services must be completed by **June 30, each year**.

 - (c) Supporting documents must be maintained for a minimum of three years following the submission of the final claim.
8. Failure to submit timely reports might result in a "**freeze**" being placed on all funds, not just Perkins IV, which flow to your agency through the Grants Finance Unit. It is, therefore, advisable that both your FS-10-Fs and Evaluation Reports be submitted promptly in accordance with items #5, #6 and #7 above.
9. In accordance with Perkins IV Section 135(b), the recipient TP agency will evaluate annually the effectiveness of the Tech Prep program using a system of core measures and standards of performance. The recipient must submit a Program Improvement Plan if the performance standards were not achieved.
10. Materials developed in whole or part with the support of Perkins IV funds administered by the Department must highlight in a prominent place the following statement: "Support for the development/production of this material was provided by a grant under the Carl D. Perkins Career and Technical Education Act Amendments of 2006 administered by the New York State Education Department."

Publicity releases and program announcements should make a similar statement. All materials produced must include a statement of the institutions' policy of non-discrimination on the basis of age, color, religion, creed, disability, marital status, veteran status, national origin, race, gender or sexual orientation.

11. All rights to reproduce and disseminate materials produced with Perkins IV funds are retained

by the State, which has the sole right to copyright said materials. Prior to the distribution of materials, the agency is required to submit them to the Collegiate Development Programs Unit so that the Department may determine whether or not a copyright will be sought.

- (a) The State of New York has the right to distribute such materials to any institution or agency, profit or nonprofit, within or outside of New York State.
- (b) The State of New York authorizes the developer/producer to distribute and sell such materials **at cost only** to any institution or agency, profit or nonprofit, within or outside of New York State.

On behalf of: «College»

I accept the conditions and requirements for the Perkins IV project cited above.

_____	_____	_____
(Chief Executive Officer's Signature)	(Title)	(Date)
_____	_____	
(Please Print Name)	(Print Title)	

Attachment: Financial Policies and Procedures Memo 92-2

Rev. 4/07

ATTACHMENT H

Due December 15, 2006

**PERFORMANCE MEASURES REPORT FOR POSTSECONDARY
CREDIT BEARING VOCATIONAL PROGRAMS - VTEA-1
FALL 2006 COLLECTION YEAR**

Designed to collect information on program performance, the data this form collects meets a condition for participation in the Carl D. Perkins Vocational and Technical Education Act program. The U.S. Office of Education now requires the State Education Department to collect and report gender and race/ethnicity splits for all items on our credit-bearing and non-credit VTEA forms.

Revising the 2005 VTEA forms to collect gender splits would result in extremely unwieldy forms and double the number of file records. We believe that converting to student records may make reporting considerably easier for institutions, will result in a smaller, more usable data file, and will permit us to measure and analyze performance for any combination of student characteristics.

Please submit your VTEA1 student records as an Excel file, a comma delimited file, or an Access database:

- Base the file on the description in the file layout tab of this spreadsheet.
- Design and provide a student tracking ID that will allow NYSED to send edit questions back to you.
- Supply the contact information specified in the Form Processing tab of this spreadsheet.
- Name the data file using your institution name and SED code:
VTEA106SEDCODEinstname.xls
- Email the file to the Office of Research and Information Systems (ORIS) at
HEDS@mail.nysed.gov

If you anticipate a delay in returning the file by the due date and/or require a reasonable extension in time, submit a written request before the due date. Include the reason for the delay and the anticipated submission date. Email the correspondence to HEDS@mail.nysed.gov

Please direct questions to:

Margaret Watrous --- (518) 486-5257
Office of Research and Information Systems --- (518) 474-5091
mwatrous@mail.nysed.gov

The Reporting Universe

1. The Perkins III Act requires performance assessment information as a condition of participation in both credit and non-credit bearing vocational programs. This includes reporting for all vocational programs, not only vocational programs that receive Perkins funding support, on completion, placement and employment retention of graduates (post-completion status). The requirement applies to registered credit bearing programs at the two-digit HEGIS 5000.00 to 5599.00 program level.
2. Include two sets of students in your submission. The first set is the cohort for calculating completion rates, comprised of all full-time, first-time students who entered the program in the fall of 2002.
The second set, all graduates for whom you must provide placement information, consists of all students who received their credential between July 1, 2004 and June 30, 2005.
You may report the data for a student who falls in both the completion set and the placement set on one record, IF YOU WISH. Use two records for students who fall into both sets when the placement information applies to a completed program different from that reported in the completion cohort section.

Field Definitions

FormID: The form Identification is VTEA1.

StudentID: Include a numeric code without any embedded descriptive information that you generate and maintain for each student that SED may use to refer editing questions back to you.

SEDCODE & INSTNAME: Include SED's eight digit code and name for the campus(es) for which you are reporting. A list of codes and Institutional names may be found in the SED Codes tab OF this spreadsheet. Be careful to distinguish individual campus codes from institutional total codes.

Collection Year:

The academic year in which this year's form is due. Whether the due date is December 15, 2006 or another date (due to an approved extension), the collection year is 2006.

Program Name: Include the name used at your institution for the credit bearing vocational program on which you are reporting.

IRP Code: Include your institution's IRP (Inventory of Registered Programs) Code. Complete this information for each program. You can access your IRP and HEGIS program codes on the web at: <http://www.nysed.gov/heds/irps11.html>, or consult the overall list of CIP codes you submitted to HEDS, or email us for a customized list of your VTEA programs, with codes.

HEGIS: Higher Education General Information System, a program classification system formerly used by the federal government. Include the appropriate six-digit HEGIS code for each program reported. The correct HEGIS code is important since standards are established by HEGIS code area.

CIPCODE: The federal IPEDS program classification code for the program. Use the CIP 2000 codes and treat this field as a text field with the format xx.xxxx Include the decimal, leading zeros and trailing zeros.

Pgm Credits: Indicate the total number of credit hours required for any student to complete the program.

Racial/Ethnic Descriptions:

- o American Indian/Alaskan Native – A student having origins in any of the original peoples of North and South America (including Central America), and who maintains tribal affiliation or community attachment.
- o Asian – A student having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam
- o Black or African American – A student having origins in any of the black racial groups in Africa. Terms such as “Haitian” or “Negro” can be used in addition to Black or African American.”
- o Hispanic or Latino – A student of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin, regardless of race. The term, “Spanish origin,” can be used in addition to “Hispanic or Latino.”
- o Native Hawaiian or Other Pacific Islander – A student having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.
- o White – A student having origins in any of the original peoples of Europe, North Africa or the Middle East.

Disabled: A student with a physical or mental impairment that substantially limits one or more of the major life activities of such an individual; and with a record of such impairment; or being regarded as having such an impairment.

Displaced Homemaker: A student who a) has worked primarily without remuneration to care for a home and family and for that reason, has diminished marketable skills; or b) has been dependent on the income of another family member but is no longer supported by such income; or c) is a parent whose youngest dependent child will become eligible to receive assistance under Part A of Title V of the Social Security Act not later than two years after the date on which the parent applies for assistance under this title; and is unemployed or underemployed and is experiencing difficulty in obtaining or upgrading employment.

Single Parent: A student who is not married or who is legally separated from a spouse and (1) has a minor child or children for whom the parent has either custody or joint custody or (2) is pregnant.

Limited English Proficient: A student who has limited ability in speaking, reading, writing, or understanding the English language, and (1) whose native language is a language other than English; or (2) who lives in a family or community environment in which a language other than English is the dominant language.

Students with Other Barriers: A student who has barriers to educational achievement requiring special services and assistance to assure success in vocational and technical education programs. This includes any student who has not acquired the verbal, mathematical, and other cognitive skills required to complete his/her postsecondary program. Generally, his/her grades fall in the bottom half of the secondary school graduating class, he/she has not earned a Regents diploma, is from a secondary school setting which has a poor record for preparing students, or has been out of school for two years or more. He/she will generally rank low on such traditional measures of collegiate admissions as SAT scores, secondary grade average, and class standing. This also includes students who are enrolled in an Educational Opportunity Program (EOP), Higher Education Opportunity Program (HEOP), Search for Education, Elevation and Knowledge (SEEK), and College Discovery (CD).

Economically Disadvantaged: A student who participates in any of the following economic assistance programs: Pell Grant, Tuition Assistance Program (TAP), Aid for Part-Time Study (APTS), Educational Opportunity Program (EOP); Higher Education Opportunity Program (HEOP), Search for Education, Elevation and Knowledge (SEEK), and College Discovery (CD), Bureau of Indian Affairs (BIA), Temporary Assistance for Needy Families (TANF), Workforce Investment Act (WIA), Social Security Insurance (SSI), Women, Infants and Children (WIC), Other public assistance programs serving economically disadvantaged such as: Food Stamps, Home Energy Assistance Payments (HEAP), Supplemental Security Income, Trade Readjustment Act, and Refugee and Immigration Affairs Assistance, OR:
An adult with a documented total family income below \$10,750 for single persons or \$18,100 per couple or \$20,800 for a family of three, with an additional \$4,050 for each additional family member.

Part1cohort: A full-time, first-time entrant to the program in the fall of the collection year minus 4.

Yr4status: Status as of August 31 of the collection year of students who were members of the Part 1 cohort entering 4 years earlier. Status definitions are provided below:

****Credential in Program: Received credential in the program in which they were initially registered.

****Credential in Other Program: Received credential in a program other than that in which they were initially registered.

****Transferred: Is known to have transferred to another institution of higher education prior to receiving a credential and prior to August 31 of the collection year.

****Persisting: Had not received a credential but was still matriculated in this program or another program at this institution (registered for the summer and/or fall semesters).

****Other/Unknown: Did not fit any of the preceding status categories. This may include students who have dropped out, stopped taking courses temporarily, or whose status is unknown.

Credits Earned: Degree credits earned creditable to this program while in this program as of August 31 of the collection year. Report only for the Part1cohort students.

Part2Grad:

Any individual who received a credential in this program during the academic year (July 1, 2004-June 30, 2005) prior to the collection year regardless of how the individual entered the program (full-time, part-time, first-time, or transfer).

SixMoEmpStatus (same as in previous years): Employment status of the graduate 180 days from the date that the student fulfilled the requirements for the credential (regardless of when your institution actually surveys the students or otherwise obtains the outcome information). Use any combination of follow-up surveys, wage records, or other means to determine graduates' status at the requested point in time. Status definitions are provided below:

****Employed, Training-Related: Obtained unsubsidized employment in a field in which the skills acquired in the program are essential and directly related to satisfactory job performance. This includes graduates who are in full-time training-related employment (at least 35 hours a week), graduates who are in part-time training-related employment, and graduates who are in training-related employment and who are also pursuing additional education.

****Employed, Not Training-Related: Obtained unsubsidized employment, but not in a field related to the skills acquired in the program of study, or obtained employment in a field in which the skills acquired in the program are partially or slightly related to satisfactory job performance. This includes graduates who are in full-time non-training related employment (at least 35 hours a week), graduates who are in part-time non-training-related employment, and graduates who are in non-training-related employment and are pursuing additional education.

****Employed, Military: Entered the military.

****Not Employed Not Seeking Employment: graduates who, within 180 days of receiving their credentials, indicated they were not employed and not seeking employment.

****Not Employed Seeking Employment: graduates who, within 180 days of receiving their credentials, indicated they were not employed but were seeking employment.

****Other/Unknown: Employment status is unknown. Colleges with large numbers of students in this category for any program may be contacted and asked to identify program outcomes for these students.

SixMoPursuingEduc: Accepted/enrolled in another educational program, either at the original school or at another school offering postsecondary or adult education programs, within 180 days of receiving a credential. A graduate may be both employed and pursuing additional education at the same time.

12 MoStatus: Employment status of graduate at 12 months after receiving a credential (yes, no, unknown).